



# PALOP-TL/EU: REFLECTIONS ON FUTURE ORIENTATIONS AND PUBLIC POLICY DIALOGUE

## **Final Report**

Final Version

Dr. Fernando Jorge Cardoso & Florent Blanc, Ph.D.

**30/05/2019**

PROJECT IMPLEMENTED BY THE CONSORTIUM



# Table of Contents

EXECUTIVE SUMMARY	1
1 THE PALOP-TL/EU PROGRAMME: EXPERIENCE AND STRATEGIC VISION	4
1.1 Experience and Lessons Learned	4
1.2 Strategic Vision, Reflections on the 2021-2027 Programme	7
2 ON POLICY DIALOGUE	12
2.1 Reflecting on dialogue	12
2.2 Strengthening dialogue among the PALOP-TL partners	15
ANNEXES	33
ANNEX 1: List of Interviewees	33
ANNEX 2: Questionnaire	36
ANNEX 3: List of Programmes	37
ANNEX 4: List of Projects	38
ANNEX 5: List of References	44
ANNEX 6: Implementation Exercise for Policy Dialogue Planification	49
ANNEX 7: Steps Toward the Organisation of the Implementation Exercise	51
ANNEX 8: The Importance of Trust for Policy Dialogue	52
ANNEX 9: Participants' Engagement in Policy Dialogue	53
ANNEX 10: Addressing Decision-Making and Consensus in a Policy Dialogue - the Input from the SURE Project of Health Policy Reform	55
ANNEX 11: Policy Dialogue Depends on Choosing the "Good" Chairperson	56
ANNEX 12: Stakeholders' Participation in Policy Making	57
ANNEX 13: Land Reform in Mozambique and Civic Engagement (ODI)	59
ANNEX 14: Priority Selection and Stakeholders' Inclusion	60
ANNEX 15: Stakeholders' Contribution to Policy Formulation and Option Selection	61
ANNEX 16: Good Practices - National Stakeholders' Contribute to Tunisia's health Policy Reforms	62
ANNEX 17: How Platforms Can Inspire the Next Stage of PALOP-TL Cooperation	63

# EXECUTIVE SUMMARY

This Final Report “PALOP-TL/EU Cooperation: Reflections on Future Orientations and Public Policy Dialogue”, was elaborated within the scope of the Project to Support for the Implementation and Coordination of the PALOP and Timor-Leste Cooperation Programme, implemented by the CESO/EPTISA Consortium. The Report is divided into two parts. The first one aims at suggesting a vision for the next 2021-2027 PALOP-TL/EU Programme; the second Part proposes a mechanism of structured policy dialogue amongst partners.

The Report was built with the help of a vast documentation, mostly related with programmes and projects and with ACP, EU and PALOP-TL major strategies and orientations. Also crucial for the analysis and the suggestions herein made, were interviews done with 57 stakeholders.

The first Part deals with lessons learned and reflections for the future.

**Lessons from experience** reveal the consolidation of the rationale that initiated the programmes in 1992: On the PALOP-TL side, historical and political bonds, a shared language, common administrative procedures; On the EU side, the interest to gather countries with commonalities that help to devise projects and to develop dialogue on issues of common concern and positions in the international sphere. For both parties, the sharing of principles and fundamental values was considered as a crucial element to cooperation.

Some areas of collaboration were seen as core actions alongside the several programmes approved and implemented. Those actions were mostly expressed in projects aiming at the reinforcement of public institutions and good governance as well as the training of nationals. In the current Programme, income generation to create jobs mostly for youths in the cultural sector was added as a major priority and a sound way to gather a stronger support from local authorities, civil society and the private sector.

The evolution of experience led to the introduction of new procedures and to a better management of the programmes. It was the case of the concentration of technical coordination of the programmes in one of the PALOP-TL countries (Mozambique), which also allowed the EU to choose its Delegation in that country to be the counterpart to the regional technical coordinator. Some other lessons revealed the need to improve a steadier participation of sectoral administration bodies in projects and policy dialogue. The same was said concerning civil society, private sector and local authorities’ participation, to boost sustainability, appropriation and, therefore, a stronger visibility and public support of the Programme.

**Strategic vision and reflections** for the next Programme merited a strong interest and attention of the interviewed stakeholders.

Some of the reflections were about procedures to strengthen cooperation among and within the parties. It is the case of the perceived need to include in the phases of design, implementation and monitoring of the programmes, not only diverse levels of PALOP-TL administration authorities and non-governmental actors, but also the EUD delegations, to allow a better appropriation of the collaborative process by both sides.

The choice of actions for the next Programme was very much consensual. Reinforcing public institutions, training of national experts, generating income to create jobs were preferred issues. Some of the PALOP-TL interviewees pointed also to the need to allow the income generation action to include projects in other sectors, besides those pertaining to the cultural sector. Blue economy was also a very much mentioned issue to be included in the next Programme, as all countries have continental platforms and the seas are a source of strategic resources.

Considering the technological accelerations that are shaping the world economy, it was stressed by several stakeholders the importance to include in the projects the training of national experts in technological fields such as information technology, digitalization, biotechnology, energy and others. It was also referred the importance to help national institutions and experts to connect to international specialised institutions and networks of reference, to foster the integration of the countries in global affairs and to help retain brains at home. These last considerations led to the suggestion of new types of actions for the next Programme.

Finally, the need to connect PALOP-TL/EU Programme actions and projects with national strategies was stressed. South-South, interregional and triangular cooperation were considered a necessary course of action and, for that matter, the relationship with CPLP was very much referred as a permanent priority.

Therefore, this Report proposes to concentrate funds for the 2021-2027 PALOP-TL/EU Programme in three major actions: (i) reinforcing public institutions and good governance; (ii) boosting growth and jobs; (iii) oceans – blue economy and enlargement of continental platforms.

### The second Part of the Report deals with Policy Dialogue.

Setting up a strengthened policy dialogue mechanism implies a reflection, already ongoing between the PALOP-TL countries and the European Union, on the ways they envision the future of their relationship. Their ability to address issues of common concerns, as well as their capacity to overcome future challenges affecting cooperation policies and practices partially depends on the possibility to create a dialogue of equals.

Dialogue remains a polysemic notion as well as a common element of international relations around which peaceful relationships emerge in a multilateral system. Part of the task undertaken in this Report is to qualify what a dialogue on public policy is, and the conditions to lay down to make it happen in an effective, sustainable and relevant way.

While policy dialogue is most often used, by the European Commission, in a bilateral way, the challenge, for the PALOP-TL/EU partnership, is to consider the strengths as well as diversity coming from six countries with a lot to share and marked by a strong willingness to cooperate. The multi-national nature of this partnership, and the necessity to include all actors involved in public policy discussion, represents another challenge.

This Report, based on interviews and documentation, lays down a three-tiered proposal through which the PALOP-TL and EU partners can think a strengthened policy dialogue mechanism. The tiers overlap and build upon one another. Following up a methodological approach of policy dialogue – **process, people, content** – the proposal aims to create a shared understanding of the notion and practice, lead a reflection on the participation of stakeholders to the policy reform process and eventually introduce a dose of flexibility in both priority-setting and modalities of intensified cooperation among the PALOP-TL partners.

**Tier 1** is designed to build up the capacity of the partners, and referent EU Delegations, regarding the understanding and practice of policy dialogue. Through the organization of national-level workshops, the proposal is to gather representatives of the NAO's office, EU delegation cooperation agents as well as relevant participants regularly involved in PALOP-TL activities, to join in and build up their capacity to engage and lead policy dialogue activities. The workshop produces a series of participants written guidelines to serve as future reference and training material. Tier 1 concludes on the organization of an implementation exercise through which participants plan a policy dialogue on an identified national priority relevant to the PALOP-TL/EU partnership and begin a reflection on the inclusion of national stakeholders. A ministerial meeting pertaining to the results of tier 1 will determine the chosen priorities to be implemented by the partners through the second-tier mechanisms. The proposal considers the crucial articulation between national and regional levels of decision-making, insisting on the importance of priority-selection in such a partnership.

**Tier 2** addresses the inclusion of stakeholders within the policy dialogue process, to contribute to the capacity to identify and document the policy cycle through the presentation of evidence-based arguments. The activities in tier 2 target the democratic spaces where conversations about public policies take place and pay attention to the ways in which stakeholders are invited to participate. Their full engagement rests on the capacity of conveners to inform them about the process at hand, its guidelines and modalities for full participation. Tier 2 concludes with the setting up of a policy dialogue at national level that can inform all stages of the policy cycle, from priority identification to monitoring and evaluation. At the regional level, this inclusion enables richer, more documented conversations among partners, while domestically inclusiveness also strengthened the local democratic governance of policy reforms.

**Tier 3** aims to introduce a dose of flexibility in the partnership. Based on the notion that to be sustainable, a strengthened policy dialogue mechanism must be seen as relevant by the partners, tier 3 proposes adjustments to enable PALOP-TL partners to develop variable geometry cooperation. Partners with similar targeted priorities – identified through dialogues with their national stakeholders – could develop a common ambition and support each other. Through a platform for dialogue, concentrating on their common documented priorities, two or more countries could make their partnership more relevant and share the results of their work with the rest of the PALOP-TL partners.

Through the mobilization of platforms supporting their dialogues, the PALOP-TL partners could also mobilize specific cooperation tools, based on the formulation of specific demands. Triangular cooperation modalities or direct assistance from line-DGs could enable the PALOP-TL partners to facilitate the implementation of their policy reform objectives from a given platform.

This three-tiered proposal aims to take advantage of the strengths of the PALOP-TL/EU partnership while developing its added-value and enabling the partners to tell their own story to the rest of the world.

# 1 THE PALOP-TL/EU PROGRAMME: EXPERIENCE AND STRATEGIC VISION

This section of the Final Report concerns (1) the PALOP-TL/EU lessons learned from experience and (2) strategic vision and reflections for the next 2021-2027 Programme.

The analysis hereinafter reflects inputs from 59 stakeholders, interviewed through direct, remote and written contacts held between November 2018 and February 2019, as well as from inputs received from heads of National Authorising bodies during the Vice minister's mission preparatory mission of the XIII RON. It also takes into account several written sources, since the inception of the programmes in 1992.

## 1.1 Experience and Lessons Learned

As said, experience and lessons learned were discussed with a number of stakeholders, usually through interviews<sup>1</sup>. The composition of the interviewees is as follows: 11 from national authorities and public bodies in the PALOP-TL countries, 6 from representatives of those countries in Brussels, 4 from managers of some of the on-going projects, 10 from members of EU Delegations in the PALOP-TL countries, 16 from officials of DEVCO, EEAS and other EC bodies and 10 from stakeholders of another provenance.

The distribution by functional category and provenance of interviewees is shown in the following Table.

Table 1: Distribution of Interviews

Institutions	Ang	CV	GB	Moz	TL	STP	Other	Total	%
PALOP-TL, in countries	2	1	2	1	4	1		11	18,6
PALOP-TL, in Brussels	1	1	1	1	1	1		6	10,2
Project managers							4	4	6,8
EUD members	1	3	1	4		1		12	20,3
DEVCO, EEAS, EC							16	16	27,1
Other							10	10	16,9
<b>TOTAL</b>	<b>4</b>	<b>5</b>	<b>4</b>	<b>6</b>	<b>5</b>	<b>3</b>	<b>30</b>	<b>59</b>	<b>100</b>

Source: data collected from interviews

<sup>1</sup> The list of interviewees and questions raised are presented in Annexes 1 and 2 to this Report.

Sources for doing this Report also came from written documentation. The diverse and sparse way information was organised since 1992 until recently, made it difficult to do a more detailed and consistent analysis of the vast experience acquired, namely when trying to measure results or impacts of past individual projects, which was impracticable. However, some quantitative findings may be extracted from written information available about sectors prioritised and the distribution of finance given along the years.

The following table considers the total amount in euros and the sectoral distribution of the 18 major projects designed and carried on until the current 2014-2020 PALOP-TL/EU programme.

The projects were mainly financed with EDF money, 6 by the 7<sup>th</sup>, 3 by the 8<sup>th</sup>, 4 by the 9<sup>th</sup>, and 5 by the 10<sup>th</sup> - some of the listed projects are still going on, financed by the 9<sup>th</sup> and the 10<sup>th</sup> EDF.

These 18 projects were developed in 7 sectors, namely statistics, culture, public administration, public finances, education & training, health, justice. They were financed with a total of 88,15 M€, of which 79,13 M€ (90%) from the EDF<sup>2</sup>.

Table 2: Sectoral Distribution of Major Projects

Institutions	No. of Projects	Amount in M€	% (of 18)	M€/number
Statistics	2	6,3	7,1	3,15
Culture	2	5,5	6,3	2,75
Public Administration	5	29,1	33	5,82
Public Finances	2	8	9,1	4,55
Education & Training	2	9,15	10,4	5,2
Health	2	12,6	14,3	7,15
Justice	3	17,5	19,8	6,6

Source: <https://paloptl.eu/>

Considering the list and the contents of each one of the 18 projects, one may point to some findings that conform with the narrative found in most of the consulted documentation about the rationale that led to the creation of the PALOP-TL Group - historical bonds and the existence of a common language, sharing of fundamental values, prizing common administrative procedures.

Continued belief in this rationale and a perceived good experience of past and current projects helps to understand the existence of a favourable and consensual opinion for the continuation of the Programme.

Actually, PALOP-TL/EU programmes are regarded by stakeholders as successful complements to NIPs, mostly because they support the development of each country within defined priority areas, namely by reinforcing public institutions and developing common administrative and legal norms and practices in various fields (legal, statistics, financial, training, etc.).

<sup>2</sup>The list of programmes and projects are included in Annex 3 and 4, respectively.

The 11<sup>th</sup> EDF action related to income generation through employment in the cultural sector aims at a greater involvement of civil society and the private sector, and is a new priority. The other action, Pro PALOP-TL SAI (phase 2) represents the continuation of the trend to reinforce the work of public institutions and to strengthen the dialogue amongst sectors and public officials within and amongst the PALOP-TL countries.

The following opinions were shared by many of the interviewees and confirmed by written documentation. Therefore, they may be regarded as **lessons of the experience**.

They were:

- a) The reinforcement and capacitation of institutions, mainly public institutions, has been a clear priority of past programmes. This is an appreciation very much stressed not only in reports and in global or partial evaluations, but also in the interviews done with stakeholders, mostly in countries' interviewees, project managers and EUD representatives. This is consistent with the perceived need to reinforce the effectiveness of the state and of good governance in every country of the group. This perception is regarded as not conflicting with the increasingly vocalised need of a greater involvement of the private sector and other non-governmental and local stakeholders in the various fields and levels of cooperation.

Income generation through employment promotion in the cultural sector was chosen as a new priority for the current programme, capturing two thirds of available funds for projects. Its rationale comes from a political move on the part of the PALOP-TL countries to give more visibility and impact to the Programme and to bring civil society, private sector and local authorities into projects, aiming to receive a larger support from the population. Some of the stakeholders referred that the priority to generate income and employment should go beyond the cultural sector and cover other areas with a focus on youths.

This move is also aligned with new development aid priorities of the European Union that give greater priority to investment, employment creation and the private sector, also as a way of addressing the root causes of irregular migration to Europe.

- b) There is an unclear perception of the impact of discontinuing some projects. As several projects financed through previous EDF are still ongoing, there is not yet a clear perception of the impact of the discontinuity of their funding in the framework of the PALOP-TL/EU Programme. However, and because of the concentration in the current programme of most of the available funds in the cultural sector, there is a perception on the part of some of the interviewees that something should be done to ensure the sustainability of some actions that are overdependent on external funding, namely by implementing follow-up projects and finding other funding sources.

Consolidation of the rule of law (PACED) and of the countries' statistics systems were raised as specific examples of unintended effects of discontinuing some projects, since there is a difficulty to raise funds from other sources to proceed with the capacitation of public institutions and the training of their staff in these areas.

- c) The existence of common administrative and legal norms and practices continues to be regarded as an added-value. This is not only revealed by the sectoral composition of the above cited projects; it is also confirmed by different stakeholders who very much praised the bulk of the projects implemented.

Different projects were implemented at different speeds and levels, depending on each country situation, as projects had to adapt to different realities. Overall, these common administrative and legal norms and practices are perceived as one of the reasons for the continuation of the Programme.



- d) The involvement of sectoral ministries in the Programme needs to be strengthened, not only for broadening levels of appropriation, but also for improving the incorporation of regional projects into national objectives and sectoral programmes, thus boosting their sustainability.
- e) The need to align cooperation with political and policy dialogue between PALOP-TL and the European Union was also referred as important – it is already happening but need to be improved and better organised. Policy dialogue currently takes place mainly at the project level, between the project management team and the concerned governments' teams. By all accounts, these policy dialogues are bringing very interesting results and high-level contacts. At the macro level, within the programme, the capacity of the relevant actors to mobilise and commit to such a process of policy-reform is still less obvious.
- Aside from the exchanges that take place within each of the projects, talks about policies and political orientations are organised mainly during the main annual event gathering the National Authorising Officers representing the governments of the PALOP-TL countries, along with European Union representatives and officials at the bilateral level. While addressing also political priorities, these moments of bilateral and plenary exchanges do not conform to an organised mechanism of policy dialogue.
- f) The need to balance the work of external consultants / project managers with the role of PALOP-TL and EUD representatives. Too much of the work and dialogue between the PALOP-TL and the EU is dependent upon external consultants carrying on the design of proposals and the management and monitoring of sectoral actions and projects. That is perceived as a weakness in what respects the involvement of the direct interlocutors in the process and leads sometimes to a fruitless dialogue, once it stays between consultants and projects' managers.
- This was pointed both by the PALOP-TL side and by the EUD / DEVCO side, not with the intention to get rid of consultants or third parties but aiming instead at a deeper involvement of staff from both sides in all the phases – from the designing to the implementation and to the monitoring of actions and projects.

## 1.2 Strategic Vision, Reflections on the 2021-2027 Programme

The final step of negotiations between EU and ACP regarding a future post-Cotonou Agreement is opened. Looking at the mandates both parties have, this will be a difficult negotiation, as the EU is offering a trend towards regionalisation of the Agreement and the ACP is struggling to keep it as one.

In parallel with the negotiations, the EC is working on a new financial instrument which aims to gather funds disbursed through diverse instruments, mainly the neighbouring policy, international development cooperation and the EDF. This implies its budgetisation and the Member States and the EU Parliament still must agree with the move. To these uncertainties should also be added the implications of Brexit – particularly on the amount of available funds for the next Agreement - as well as the composition of the EU Parliament to be elected this spring and the orientations of the new Commission that will be inaugurated soon after that.

On the side of the ACP group there are not also very clear positions on the relationship between the intended post-Cotonou framework and the Africa-EU strategic relationship.

The same lack of consensual positions and visions still apply to the role and the way to relate bilateral relationships of some countries with the EU as well as the particular case of the North Africa countries which have a clear inclination to act as Mediterranean countries in their relationship with the EU. However, this should be tempered with a long experience that African countries and their organisations have to live with diverse, sometimes conflicting or overlapping frameworks.

As a matter of fact, the programmes are well regarded or perceived as having good results, not only by the PALOP-TL side, but also by the European side, because it fits with the EU Global Strategy for Foreign Policy and its Consensus for Development and with current trends within the political preferences and positions of European Union member countries towards international cooperation.

PALOP-TL/EU programmes have been branded regional programmes, following the approval of the 4th Lomé Convention in 1989, in which, according to its article 156.4, regional cooperation could transcend geographical proximity.

However, they have been indeed interregional programmes and the triangular, North-South / South-South framework of cooperation, reinforced by the entrance of East-Timor in 2007, is really a trump that favours the continuation of the programmes in the post-Cotonou period. Therefore, ways of avoiding threats of discontinuity of the PALOP-TL/EU Programme were not really considered an issue of preoccupation on the part of almost all the interviewees.

**Assuming their continuation, whatever the choice of priorities, actions and projects, there is a general opinion that the programmes should revolve around a steadier policy dialogue procedure, in the designing, implementation and monitoring phases - starting already in the current Programme.**

The consideration of a better structured dialogue on public policies comes from the perceived need to increase the effectiveness of projects and to improve the relationship amongst stakeholders. Policy dialogue is believed to encourage collaboration on issues of shared interest, to boost multilateralism and to reinforce international and regional organisations praised by the partners. Part II of this Final Report will treat extensively a proposal of a structured mechanism of Policy Dialogue.

The strategic vision and reflections for the future Programme rely mostly (but not only) upon fact findings and opinions collected. They aim at maintaining or ameliorating actions that proved to be consensual and effective, but they also include suggestions of other priorities or actions because there are new challenges and opportunities already present or perceived, which relevance will eventually increase for PALOP-TL, the EU and the member countries along the next decade.

Before discussing choices for the next programming phase, it is important to remind some of the actions and projects which continuation was assumed and desired by most interviewees and also by the heads of the National Organising Authorities.

The following is a list of those already **established assumptions and priorities**.

- (i) Keep in mind the rationale of the Programme, namely the weight of historical and political bonds and the facility opened by the use of a common language, the development of common administrative procedures and the sharing of principles and fundamental values, therefore facilitating mutual relationship and international collaboration, mainly around issues of common concern.
- (ii) Reinforcing public institutions, training national experts, generating income, creating jobs were strongly suggested actions or transversal issues to be included in the next programming phase.
- (iii) Nurturing political dialogue and dialogue on public policies, not only at the coordination level but also at sectoral levels, bringing on the participation of political actors (government, parliamentary, judiciary) and local authorities, as well as representatives of civil society and the private sector.
- (iv) Commit more directly the parties to the actions and projects of the Programme, avoiding an excessive reliance upon external consultants in the designing, managing and monitoring phases. In the case of PALOP-TL, the involvement of more public officials and national/local institutions could help increase appropriation and sustainability. EUD should also participate more effectively in all the phases, to build an even stronger partnership.

- (v) Work on a better linkage between cooperation and political spheres in the PALOP-TL side. Although subjected to the political decision of each country, there were strong suggestions on the part of interviewees to concentrate in the same Ministry (Foreign Affairs) the body that coordinates the relationship with the EU both in the cooperation and the political spheres, as a way to give a strong sign of the importance of the Programme – as a matter of fact this suggestion involves all kinds of other international political partners, countries and supranational organisations. Financial and current management of projects should rely upon or involve also sectoral bodies (other Ministries).

Besides these points that follow from acquired experience, other suggestions related with **future areas of intervention**, some of them new to the programmes, were also stressed by stakeholders and heads of national bodies, aiming not only at their possible inclusion on actions or projects, but also as possible elements of political dialogue and / or dialogue on public policies.

Major suggestions were:

- (vi) Oceans should be added to the list of common issues. Diverse aspects of the blue economy – research, maritime transport, fisheries and aquaculture, among others – were mentioned, as well as questions pertaining to the envisaged extension of continental platforms in the next decade. This is a theme to be treated in Political Dialogue and linked, in future actions, to the concretisation of national priorities and programmes.
- (vii) Environment and climate change should be taken into consideration either as projects per se, or as elements to be included within the scope of actions and projects; they could also be topics of political and/or policy dialogue
- (viii) Green economy, including agribusiness, not only because they relate to feeding population, but also because they involve innovation and change in production, could be considered in the framework of the Programme.
- (ix) Telemedicine was also raised as an important aspect to consider, mostly because telemedicine can partially cover health needs of huge numbers of people with little amounts of funding.
- (x) Security issues (terrorism, smuggling, drugs trafficking, illegal migration, among other issues), will have to be within the relationship of the group with the EU under policy dialogue.
- (xi) Take into account specificities of insular countries, geographic discontinuity and development gaps within the group when defining priorities, actions, projects and the correlative distribution of funds.
- (xii) Consider science & technology as well as professional and technical training as transversal issues to be included whenever possible in the chosen actions and projects.

As a matter of fact, these are linked with observed priorities of any PALOP-TL country for the next decade and they also encompass other frameworks of relationship with EU members and other countries, multilateral organisations and investors. In this sense, the issues raised should be considered in their larger sense.

Besides these assumptions and perceived priorities, many stakeholders also referred the belonging of the 6 PALOP-TL countries to the Community of Portuguese Languages Countries (CPLP), together with Brazil, Equatorial Guinea and Portugal as a clear value-added that needs to be better exploited and taken care of. This means that the possibility to establish a stronger and workable link between the Community and the Programme is clearly there and could contribute for a larger dialogue and cooperation with the European Union (and vice-versa), which is politically valued by both parties.

Opening the door for further networks and funding coming from other EU members and third parties, strengthening South-South, Triangular and interregional dialogue and cooperation were also stressed by

stakeholders. These are ways to be better prepared to face challenges and follow major trends that will most probably continue to be crucial over the next decade.

Finally, before suggesting a vision and priorities for the next programming phase, some reflections on **sustainability, appropriation, mindset of cooperation** are offered.

A first reflection is about sustainability and appropriation.

It is important to bear in mind the amount of funds available before committing to visions and priorities, given that their pursuit could become unsustainable. In this regard, the following aspects should be taken into account:

- a) The importance of being realistic about defining priorities and actions with scarce funds, keeping the practice of concentrating funds in few actions, and visible results.
- b) Think about sustainability and appropriation, because past projects show that they tend to be discontinued for lack of funding.
- c) The need to anticipate alternative sources of funding and support for sectors/ areas previously supported by projects of the cooperation programme. This could include a transition period, whereby the projects are absorbed within the scope of the national plans and budgets, in order to prepare for their further appropriation or termination.
- d) The need to involve the private sector in the design and implementation of projects, when relevant, in order to encourage for their partial or total appropriation.

A second reflection is about the mindset of cooperation.

The acquisition of a “think global” mindset, aiming at linking institutions, public and private, and people that participate in actions and projects devised within the Programme with international institutions and networks of research and development, not only from the EU but also from other partners.

More specifically:

- e) Inclusion of national institutions, in order to integrate them in advanced and updated domains, helping countries to participate more fully in innovative and productive areas and raising their investment profile.
- f) Participation of national experts and specialised workers in sectors of ongoing technological revolution (biotechnology, digitalisation, energy transition, telemedicine, secure environment, green economy), to diminish the flow of brain drain. If national experts are connected to international networks and participating in relevant, innovative projects, they may be less prone to abandon their countries of origin.

Finally, hereinafter are presented **suggestions of action priorities** for the 2021-2027 PALOP-TL/EU Programme.

Therefore, taking into account lessons learned and reflections on the future, the suggestions are as follows:

1<sup>st</sup> action: Reinforcing public institutions and good governance

Reinforcing public institutions (e.g. public finances, judiciary, statistic systems), training and qualifying workers and improving working relationship amongst administrations, parliaments and civil society have been consistently referred by stakeholders as a good experience to be continued. These choices are consistent with the «raison d'être» and the perceived added value of the PALOP-TL/EU programme, which derive from the use of a common language, that facilitates the design of collaborative projects, from the existence of similar administrative and legislative processes and practices, and from historical good relations amongst the PALOP-TL countries.

The current Pro PALOP-TL SAI is a successful cooperation project contributing to the reinforcement of public institutions and good governance and can serve as a basis for continued initiatives of a similar nature in the future.

### 2<sup>nd</sup> action: boosting growth and jobs

The will to increase the economic relationship through boosting investment and jobs' creation was a major message of the 2018 EC announcement of a new Africa-Europe Alliance. This is a very much shared priority, stressed by the African Union and the ACP countries, and it provides a common ground to inform current and future bilateral and multilateral cooperation.

Therefore, funding income generating activities that promote jobs and boost adequate education and vocational training for that purpose – not only in the cultural but also in other sectors –, may contribute to a better public visibility of the Programme and to increase the interest of local authorities, civil society, private sector in the Programme and its projects.

The Income generation through employment promotion in the cultural sector project should be reframed to encompass areas other than culture, maintaining its focus on youth

### 3<sup>rd</sup> action: Oceans - blue economy, enlargement of continental platforms

Besides a common language, shared administrative procedures and strong historical bonds, another obvious interest common to PALOP-TL countries is the sea, as all countries have maritime borders spread over 3 different oceans. The foreseen approval at the UN of the enlargement of the maritime sovereign territories of countries with sea borders in the beginning of next decade, will touch a significant number of fields inside or outside the scope of the blue economy, such as security and control of sea routes, food (not only fish) and nutrition, production of clean energy, management and negotiation of natural resources.

This is clearly a new challenge for all countries involved (including some of the EU member countries) and a common concern that could help improve tripartite collaborative actions, including with North and South countries, such as Brazil (and the other CPLP countries, all of them with sea borders). Therefore, this action could explore the participation of PALOP-TL countries on international fora, research networks, mobility actions and training of nationals in various fields. It would allow the participation in actions of EU institutions and Member States, especially those with maritime institutions and expertise.

It could also be a great chance to boost South-South and Triangular interregional cooperation and political dialogue (enlargement of maritime platforms is not only a technical but a very much geopolitical issue), reinforcing the added value of the Programme. It would also be a good way to foster collaboration within the CPLP (the Community has regular sectoral dialogues and a common strategy for the oceans since 2010) and, therefore, between PALOP-TL plus other CPLP and the EU, as this is clearly an issue of shared interest.

Other possibilities could be chosen for a 3<sup>rd</sup> action. However, more important than its choice is the way projects are designed, as they should aim at collaborating with broader platforms to attract more funding and expertise, contributing to the integration of the PALOP-TL countries in technologically advanced and globalised frameworks, instead of being perceived as donor recipients alone.

## 2 ON POLICY DIALOGUE

The exchange of positions and argumentation represents the cornerstones of an international system based on multilateral institutions designed to prevent conflict and ensure prosperity. The creation of decision-making arenas (where debate takes place) is meant to offer an opportunity to diplomatically solve conflict and address international issues affecting multiple countries

Despite the criticisms that can be levelled at the international system and its imbalances, one has to recognize nonetheless that dialogue has gained traction among the actors involved in cooperation and development. From its institutional characteristics (the way it is thought) to its sociology (the way it happens), dialogue derives its impact from its objectives but also from the relationships between actors.

### 2.1 Reflecting on dialogue

Initiated during the ministerial meeting of 2016, the reflection on the future of the PALOP-TL/EU partnership was followed, in 2018 by a decision to reflect upon a policy dialogue mechanism. The notion of dialogue is both an injunction of international relations and a polysemic concept that needs to be questioned before moving further. Given the recent EU<sup>3</sup> and ACP<sup>4</sup> officials' declarations regarding the importance of "dialoguing among equals", one should wonder about the steps to be taken to implement these invitations. Three questions follow: **How should a dialogue mechanism be structured? Who should be invited to participate? And last, what should the participants talk about?**

In this regard, the notion of "strengthened dialogue mechanism", pointed out by the 2018 ministerial meeting's conclusion, suggests two precautionary reflections:

- On the type of structuration needed for a policy dialogue mechanism to be sustainable through time while keeping a high level of engagement from the partners;
- On the necessary inclusion of regular assessments procedures available to each partner, to evaluate the pertinence and relevance of the policy dialogue process for its own development priorities.

On different occasions, interviews showed that PALOP-TL partners have great ambitions for this partnership: tell a particular story to the world and demonstrate its added-value. Both constitute great indicators for the relevance that such policy dialogue mechanism has to concretize. In this context, a strengthened policy dialogue mechanism is not the answer, but rather the means through which the six PALOP-TL countries and the European Union will continue demonstrating the added-value of this partnership. Through a structured dialogue the partners will continue to tell a specific story despite the current changes and challenges that push even further the necessity to assert the relevance of the ways in which countries cooperate with each other.

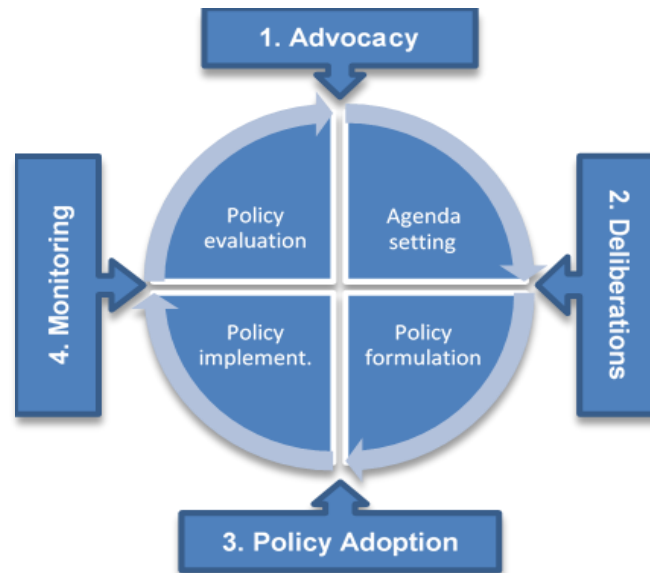
---

<sup>3</sup> See for instance the Declaration of 2017 African Union-EU Summit: *"We are committed to mutually respectful, constructive and equal political dialogue on equal footing aimed at enhancing democracy, good governance and human rights (...)"*; and High Representative Federica Mogherini remarks at the 2018 State of the Union: *"Europe and Africa share many of the same interests: we both want a stronger Africa – with quality jobs for its youth, a better business climate, and peace and security for all. In these years we have started to build a real partnership of equals with Africa"*.

<sup>4</sup> At the Joint ACP-EU Parliamentary Assembly (June 2018), co-President Joseph Owona Kono talking about the Post-Cotonou negotiations stressed: *"This ambitious objective requires a modernized partnership. A partnership that overcomes the donor-recipient relationship, and gives place to a relationship between equals based on genuine political dialogue and shared interests"*.

For all parties involved, setting up a policy dialogue mechanism represents an opportunity to deepen their cooperation and to maintain a high level of contact not only at the political but also at the policy and technical levels. A structured and sustained policy dialogue, based on inputs from political authorities, would ensure that interest is kept high, and issues of common concerns can be addressed in a joint fashion.

DG DEVCO defines policy dialogue as providing “a framework to take stock of the implementation of the partner country’s policies and reforms, as well as of donors’ commitments”<sup>5</sup>.



**Figure 1: Policy dialogue: a definitional approach** - policy dialogue enables varied inputs into the policy cycle (source: INSPIRED, 2018).

Policy dialogue, therefore, happens upon the request of a partner government and aims at supporting the efforts to achieve the objectives laid down in its strategic documents. Through a structured exchange (or more likely a series of structured and well-planned exchanges), the national government, its partner(s) as well as a set of stakeholders and experts (if need be) contribute to the development of an evidence-based policy reform.

To reach this objective, policy dialogue can take place at several points during the policy-cycle. It can happen at one given point or throughout the policy development stages. Upon the decision of the national authorities, the policy dialogue can contribute to (1) the identification phase, (2) the selection of policy options, and/or (3) the implementation and monitoring parts of the policy cycle allowing, in turn, (4) a collective discussion on the criteria of evaluation, that inform the government’s decision-making process.

Aside from aiming for an evidence-based policy reform, policy dialogue plays also an important part in creating a space for democratic exchanges in-between electoral cycles while permitting another type of interactions between a government, its institutions and various actors of its society<sup>6</sup>.

### ***From bilateral to regional: the adaptability of policy dialogue***

Policy dialogue takes place in a bilateral cooperation context by the European Union to address a partner country’s objectives and reforming key identified sectoral policies. There are some examples of policy

<sup>5</sup> DEVCO, “Budget Support Guidelines”, 2017, p.44

<sup>6</sup> Peter S. Adler and Kristi Parker Celico, “Policy Dialogue”, in Guy Burgess and Heidi Burgess (Eds.), *Beyond Intractability*, University of Colorado, Boulder, December 2003.



dialogue being used in a larger context to address issues of common concerns at a multi-country and even regional level. For instance, in order to establish the PEFA<sup>7</sup> instrument at the beginning of the new millennium, a policy dialogue has taken place at a multilateral level, mainly between development partners, in order to reduce the number of Public Financial Management assessment tools used at that time. The result of the process was that the European Commission, World Bank, IMF, France, Norway, Switzerland and UK developed a new tool that has been utilized at a national level by most countries in the world. Thus, this is an example of the result that a multilateral dialogue can have at a national level.

In another case, from recent years in Burkina Faso, the local EUD aimed to address the government's issues with road maintenance in a creative way. For the West African states, infrastructures are vital to connect customers and companies from the landlocked markets to the harbour on the Atlantic coast. But the rising demand for imported goods and export opportunities is served by a fleet of trucks that are regularly loaded beyond their intended and legal capacity, causing a rapid deterioration of the roads. The initiative to create a policy dialogue on road maintenance, set up in Burkina Faso, enabled the exchange between governments from the region as well as representatives of the sectoral stakeholders. The outcome was a call for more controls of the trucks' axle load, enforced by all authorities. The Burkina Faso case provides an example where policy dialogue regarding regional issues is organized from a bilateral cooperation standpoint. The mechanism is adapted to convene decision-makers and regional stakeholders to complete the issue identification phase as well as the policy options discussed in this policy reform process.

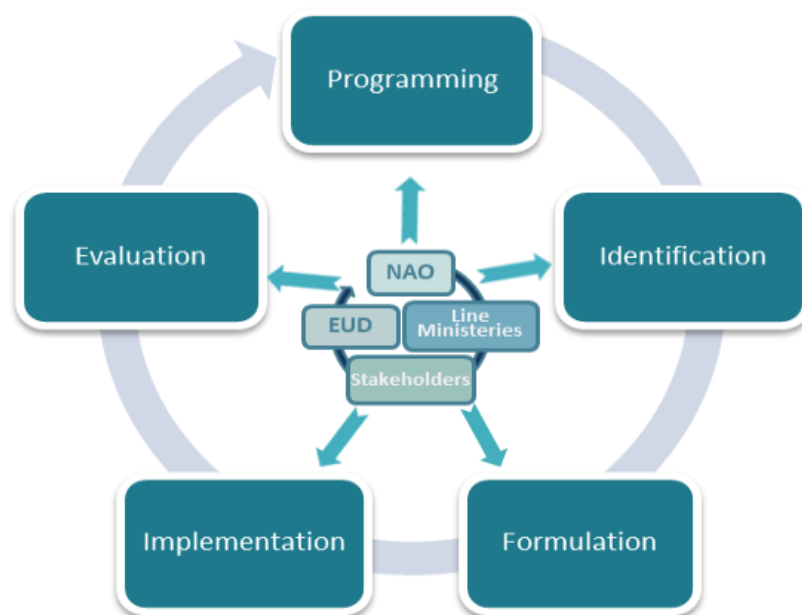


Figure 2: Regional policy dialogue mechanism

Applied to a regional partnership, a policy dialogue mechanism can enrich the policy reform process in different aspects by taking stock of the common willingness to cooperate, shared understandings, the history of the relationships as well as the trust between the partners. Nonetheless, setting up a policy dialogue in a multi-country context presents constant challenges, as the organization of a structured dialogue with multiple governments, partners and stakeholders. The administration and coordination are crucial roles and the budget should not to be overlooked. In addition, it also requires a strong connection between the regional

<sup>7</sup> Public Expenditure and Financial Accountability



level and the partner country's own decision-making process. The possibilities are diverse and should result from a regional leadership decision regarding policy priorities.

Along this Report, examples will be highlighted that can help imagine a policy dialogue mechanism tailor-made for the PALOP-TL/EU partnership. The following sections will address in further details the conditions upon which a dialogue can be structured so as to engage actively the right participants and establish guidelines for constructive exchanges of positions.

## 2.2 Strengthening dialogue among the PALOP-TL partners

All the interviewees considered important to improve the ongoing dialogue between PALOP-TL and the EU. In accordance with the ToR of the consultancy, the following is a 3-tier proposal for a structured policy dialogue. The choice has been made to reflect upon a **sequenced process of increased dialogue** that would support the growth and enrichment of the partnership. Each proposal is conceived as adding to the previous one by offering more opportunities for the partners. Rather than presenting different scenarios offering artificial "alternatives" to a necessarily comprehensive and structured dialogue, based on evidence we chose to offer a three-tier approach built on the conception of an intensifying partnership moving toward a more comprehensive form of collaboration between the PALOP-TL countries and with the European Union.

The three-tiered proposal proposes:

- 1) a strengthened mutual understanding of policy dialogue as the main cooperation mechanisms and providing the partners with a space to create trust in the process to generate more engagement,
- 2) a more inclusive and enlarged participation in the process of defining the PALOP-TL key priorities
- and 3) a flexible approach to discussing content based on the formulation of common priorities among the PALOP-TL countries and create the possibility of a variable-geometry partnership with shared practices and shared outcomes for the benefits of all.

Transitions between tiers will be key to build momentum and generate active engagement in the process itself but even more so in the discussions authored by the partners and the mobilized stakeholders. These proposals, being part of a continued process, should be read as indications highlighting a possible future development of the partnership, in short, medium and long term.

### 2.2.1 Tier 1: a structured policy dialogue - capacity-building and common methodological approach

Following the priorities set out for the next European financing cycle, and assuming that the first priority remains to strengthen the institutions of the states, Tier 1 rests on a **reinforcement of the policy dialogue knowledge of each country's NAO team and EUD personnel**. The goal is to establish a common understanding of the mechanism by all partners, and develop a common approach to its preparation, process, quality assurance and documentation at regional and national levels.

In a process of strengthening the capacity to dialogue with partners it seems necessary to first insist on furthering a common vision, mutually agreed upon working principles to create the conditions of strengthened policy dialogue.

The objective of this tier 1 proposal is thus to enable, **at the national level**, cooperation partners to work together on the basis of policy dialogue as a cooperation methodology, to discuss and address potential issues, misunderstanding and difficulties to generate a renewed capacity to engage with each other, develop trust and put these new skills to use rapidly.

In detail, this tier 1 implies the organization of an initial **partners' meeting** that would span over 5 days. This meeting would develop the capacity of the partners to discuss policy dialogue in its preparation and

procedural aspects. A **regional-level coordination meeting** would capitalize inputs from national-level into common guidelines. Tier 1 would conclude by an **implementation exercise** to launch this regional policy dialogue mechanism among PALOP-TL/EU partners (this exercise is detailed in Annexes 7 and 8).

Based on interviews, it appears that such meeting at the national level should target each country's NAO teams along with EUD personnel affected to the PALOP-TL/EU programme as to determine a new set of mutually agreed guidelines to be implemented right away. The output of such approach is to **facilitate peer-to-peer learning and share common good practices**. To reinforce the exchanges, policy dialogue processes that take place in Brazil, South Africa, or the PRO PALOP SAI project could provide important insights.

Having these exchanges at national level seems more likely to enable the partners to use this opportunity to discuss their shared vision of a strengthened dialogue at regional level by first building trust locally, but also to identify their own priorities to work on together.

### *A collective reflection upon policy dialogue to avoid its pitfalls*

Policy dialogue is frequently relied upon in bilateral cooperation. Years of practice have led to the capitalization of participants' feedback and difficulties experienced during such exercises. Collected during targeted training sessions, these inputs point out the following difficulties that render policy dialogues inefficient and even detrimental to the relationship between the partner country and the EU:

- 1. Lack of sufficient trust: Due to perceived benevolence, integrity and ability, participants may not have sufficient trust in each other to engage proactively, thereby limiting the quality of information exchanged.
- 2. Overemphasis of procedural aspects: Meetings dealing mainly with procedures are not conducive to a substantial dialogue: over-formalized meetings where "deep" conversations are impossible
- 3. Lack of solid content: the goals may be poorly defined and/or understood and there may be lack of qualified/skilled participants with no mandate to take positions
- 4. Lack of interest for the issue discussed: Participants may have little interest to discuss country's strategic reforms that do not address issues of common interest in a demonstrated manner.

The purpose of this initial collective reflection, is to address precisely every aspect of policy dialogue, raise some of the difficulties inherent to such process, highlight the pitfalls to avoid, and build confidence in the process as well as in each of the participants to support a strong basis for policy dialogue at the PALOP-TL level<sup>8</sup>. The initial workshop should therefore lay down the foundations of a strengthened policy dialogue mechanism as it implies a **common reflection on the conditions** under which a dialogue will take place.

Nevertheless, the necessity remains to transform talks into new practices. The following table highlights some of the key components for a productive exchange between parties coming from different horizons, different levels of experience, and most likely different levels of trusts. These are key points to lay down the foundation of qualitative exchanges between participants:

---

<sup>8</sup> For more details and methodological qualitative aspects of policy, refer to Annex 8, 9, 10, and 11.

Policy Dialogue needs to be	Policy Dialogue requires
<ul style="list-style-type: none"> <li>Realistic (keep the goal attainable)</li> <li>Trust-oriented (trustful and trustworthy)</li> <li>Inclusive and respectful of diverse points of view and profiles</li> <li>Constructive (PD is not a debate)</li> <li>Committed (it is a long process, not to be taken lightly)</li> <li>Responsive</li> <li>Funded</li> <li>Backed by political decision and monitoring</li> </ul>	<ul style="list-style-type: none"> <li>Adequate human capacity (quantitative and qualitative)</li> <li>Coordination to sustain its processes</li> <li>Clear definition of its goals, funding capacity and timeline</li> <li>Donor coordination and policy coherence</li> <li>Precise documentation and production</li> </ul>

### *Proposal regarding the organization of a 5-day long workshop on policy dialogue for PALOP-TL/EU partners*

Usually, policy dialogue workshops are organized around 8 modules covering all aspects of the methodology complemented by hands-on practical exercises designed to address soft-skills necessary to promote cooperation<sup>9</sup>. Inspired by the training modules offered by DEVCO to its staff and agents in delegations, the following proposal for a national-level workshop has been adapted to the context of the PALOP-TL/EU partnership. The proposal relies on the active cooperation between a training team and the NAO office to be as inclusive as necessary and tailor the workshop to the national context.

Day/Session	Morning	Afternoon
DAY 1	Introduction to policy dialogue	Introduction to cross-cultural communication, dialogue dimensions and tensions to avoid
DAY 2	Policy dialogue as an instrument for change within the policy cycle	Building trust between partners to promote mutual engagement
DAY 3	Policy dialogue in the project and program cycle management	Preparing for a dialogue: a ten-point approach
DAY 4	Conceiving a structured approach to dialogue and facilitation skills	Stakeholders: participation and mapping
DAY 5	Problem solving activities	Recommendations for regional guidelines

Based on the programme, the workshop should fulfil the following objectives:

- Clear vision of PD's principles and best practices;
- Conduction of strategic and informed PD;
- Ability to structure, conduct/contribute and document a PD process;
- Analysis of one's engagement with stakeholders
- Detection of relevant entry points where PD can contribute efficiently in the sector policy cycle;
- Understanding of the key phases of a project cycle where PD will have the most impact for the PALOP-TL policy reform activities;
- Practical skills for communicating, leading or participating in exchanges with other donors and governments
- Structure a meeting and create value through dialogue;

<sup>9</sup> Within DEVCO, such training modules are coordinated by DEVCO A.3. under the Management Knowledge System program (MKS). MKS activities are reflected on a dedicated knowledge-sharing platform: [www.capacity4dev.eu](http://www.capacity4dev.eu)

- Deal with difficult situations.

In view of this, each national-level workshop should conclude with the formulation of questions and inputs to be later synthesized and presented for a reflection on PALOP-TL wide guidelines for policy dialogue.

### *A regional-level meeting to produce a set of PALOP-TL/EU guidelines for the future policy dialogue mechanism*

The structuration of a policy dialogue mechanism at regional level is conditioned by the quality of the interaction between the national level where priorities are discussed and set, and the regional level to provide the architecture of the partnership's directions.

The discussions conducted at the national level are to be collected to ensure coherence for what should be a common set of guidelines for a PALOP-TL/EU structured policy dialogue mechanism. The guidelines could later serve as training and information toolkit for future participants, stakeholders and additional contributors to the PALOP-TL/EU policy dialogues.

### *Putting new skills in practice: the launch of national policy dialogues about the future of the PALOP-TL/EU programming*

In order to apply the acquired knowledge, **the national workshops (5 days) should be followed right away with an implementation exercise** (see Annex 6 for more details). This would constitute an opportunity to bring together the local partners of the government and the EUD to plan a policy dialogue through the **identification of priorities** based on the NIP, the conduct of a **stakeholders' mapping** exercise and the determination of the necessary process to address the chosen policy issue. The initial workshop and consecutive implementation should be conducted shortly after one another before participants are changing professional workplaces and their acquired knowledge is diminishing. The conduct of a stakeholders' mapping exercise should be as extensive as it can be, followed by a decision on the selection and the invitation of those most likely to contribute to the dialogue process. The mapping allows to:

- identify the groups, organizations and personalities with relevant interests in the reform;
- analyse their perspectives and interests;
- map their relationships and,
- prioritize their relevance on the selected policy issues.

The primary idea, throughout this exercise, is to think of a planned reform as having a chain impact. Any reform (as change to the *status quo*) has repercussions (positive and potential negative) for a series of actors – some are easily identified, others not. In order to maximize the positive impact of the policy but also identify and address the potential resistance, this exercise plays a crucial role. While the steps of this exercise are detailed in Annex 7. Without pre-empting a decision of the partners themselves, it may be interesting to direct this implementation exercise towards easing the **transition into tier 2**.

The transition between tier 1 and tier 2 is determined by a regional workshop bringing together representatives of each PALOP-TL countries. This meeting of the NAOs, along with EUD's PALOP-TL program managers, would most likely take place prior to the yearly meeting, to share the results of the national discussion and selection of issues for the implementation phase. The regional meeting would capitalize on the discussions and make a decision regarding the future policy dialogue processes to be launched. Figure 8 shows how the 3 tiers work together.

**Box 1: Summary of Tier1*****Operationalisation efforts required:***

*At national level, the local partners (government and EUD representatives involved in the PALOP-TL/EU partnership) participate in a weeklong workshop to discuss and experiment the Policy Dialogue methodology, and discuss common issues.*

*This workshop is followed by an implementation exercise of planning the policy dialogue involving the identification of new issues, the mapping of relevant stakeholders, and the planning of a process to reform the selected issues.*

*At regional level, a meeting of the partners (NAO level + EU) capitalizes on the national discussion and validates the policy dialogues identified by the partners during the implementation exercise.*

***Formats:***

*5-day technical workshops on the future practices of policy dialogue (in-country): Inputs from countries with longer and deeper experience (South Africa, Brazil) may be important.*

*At regional level, a meeting enables the partners to make decision about the transition to tier 2.*

***Outputs expected:***

*Participants-driven set of guidelines on policy-dialogue are added to the “Multiannual Indicative Programme” as an annex;*

*At national level, priorities are identified and relayed to the regional level*

*Sectoral Stakeholders, based on priorities identification, are mapped*

*PALOP-TL countries and respective EUD have a common understanding of the dialogue mechanisms;*

*Difficulties and necessary steps to be taken are discussed.*

### **2.2.2 Tier 2: a strengthened dialogue - capacity-building and strengthened articulation for a bottom-up approach**

The second tier aims at making the **articulation between the local government and the European Union Delegation** the cornerstone of the regional project by reinforcing their cooperation despite the inherent difficulty posed by the participation in a regional programme such as PALOP-TL/EU (priority, time commitment, travels). Working at the regional level on public policies implies not only a coordination but a constant close cooperation between the actors at the national, and then regional levels.

As such, tier 2 differs from tier 1 in the sense that the partnership based on a common understanding of the policy dialogue mechanisms, can now develop along a new axis to strengthen the quality of the dialogue on policy by adding more relevant stakeholders. These stakeholders are capable of enriching the reform process by contributing perceptions, interests and evidence that, once taken into consideration in an inclusive dialogue, will help shape better policies. Selecting these new voices should be a careful process that results from clear policy priority identification as well as agreed upon purposes and objectives.<sup>10</sup>

The reasons behind the global focus on stakeholders' inclusion in policy process deals with two main concerns. The first one is the necessity for democratic regimes to draft policy responses to complex challenges affecting their population by consulting them. The second set of reasons deals with the obligation, for decision-making purposes, to gather up comprehensive information and expertise to respond to complex challenges, while avoiding the creation of unforeseen difficulties.

The inclusion of new stakeholders impacts on the policy reform at two critical moments of the policy cycle:

- When the priorities are identified and selected by the participants to a policy dialogue, and
- during the discussion of the policy options, their evaluation and final decision.

---

<sup>10</sup> For more information on the contributions of stakeholder in policy making see Annex 12.

## 1. Stakeholders identification and the merits of democratic space for policy dialogue

Tier 2 leads to a necessary reflection upon the notion of democratic space for reform – meaning the way positions are discussed to inform the policy decision-making process – as well as the precise understanding of the notion of stakeholder's participation to a policy dialogue in a multi-country program.

Policy dialogue requires a double movement when it comes to thinking about inclusivity: understanding where dialogues are already happening as well as considering “interested parties” in its widest acceptance. This thinking will help identify the natural stakeholders and participants to any policy dialogue process in the future about any identified issue.

When dealing with policy reform at the national level, discussions take place constantly. The objective of the parties interested in structuring a policy dialogue on a given priority is therefore first to identify where actors are having this conversation. **Dialoguing implies sometimes for the partners to insert themselves in an already existing conversation, to add to it, and support the priority of the national government.**

The second movement consists in widening the outlook on who the stakeholders might be on a given issue. Stakeholders are often thought of as being part of the wide notion of civil society – especially beneficiaries, affected private interests, representative groups and so on. But to be comprehensive, a stakeholders' mapping exercise would need to identify among the government's core services and external agencies, those that are more directly impacted by any identified priority. For instance, while good governance can be thought of as a priority whose stakeholders could be mainly the private sector interests and private citizens, prior PALOP-TL-led projects have focused on such institutions as the Court of Auditors to strengthen the capacity of the State. Any reflection on the inclusion of stakeholders has to remain wide, and seek inclusiveness.

Provided their capacity to bring about new information, relevant to the priorities selected, is asserted, the inclusion of stakeholders enables to design, implement and monitor policies more likely to be widely supported and that strengthen democratic governance<sup>11</sup>.

To strengthen the overall architecture of cooperation, tier 2 relies on an increased focalisation on the inclusion of stakeholders representing a diversity of voices, characterized by the impact the reforms discussed will have on their lives, professional activities and future economic prospects.

As such, stakeholders' mappings will represent a collaborative exercise to be carried out, based on the policy priorities identified at the national level, then discussed, and decided upon at the regional level of the PALOP-TL/EU partnership. The decision on the policy orientation then enables the partners to seek and identify the relevant stakeholders that will participate in the dialogues on policy reforms.

The projects conducted by the PALOP-TL/EU partners over the years cover a wide array of sectors with an understandably strong focalisation on capacity-building in core development areas (PFM, governance, justice, health, education, statistics). The sectoral focus determines the primary selection of interlocutors and initiates a reflection on the inclusion of stakeholders.<sup>12</sup> To provide the most efficient results, this analysis has to take place within a structured process and with clear, commonly approved goals and policy objectives.

Based on a political economy analysis around which revolves each project carried out, the identification of the stakeholders begins with simple interrogations:

1. Who has a stake in the process of reform of a given policy? How are this actor's interests best characterized?
2. What is the capacity of this actor to represent itself? And thus, what power does it have currently?

---

<sup>11</sup> For information the role played by CSO in a case of land reform in Mozambique, see Annex 13.

### 3. What would success look like for this actor?

Based on a large pool of stakeholders, the first identification will necessarily need to be sorted through selection criteria: expected contribution to the dialogue, level of legitimacy, and willingness to participate. The identification and selection phases will have to balance between the necessity to gather diverse voices representing different interests and the potential identification of opponents, adversaries and eventual spoilers. These actors are characterized by interests, positions and levels of influence on the selected issue that are in sharp contrast with those of the project's initiators.

Once the policy dialogue's main partners have identified the relevant stakeholders and their main characteristics, supported maybe by technical assistance, they can design a stakeholders' engagement strategy. This consists in defining the conditions under which the stakeholders will be introduced to the policy dialogue process. To facilitate the stakeholders' engagement, they should be informed by the coordination team about the context of the policy dialogue and the reasons that led to their invitation<sup>13</sup>. To maximise their expected input on the policy dialogue, stakeholders should be presented with information and included in all exchanges related to the policy being addressed.

Three entry points offer the best chance for them to add value to the policy process:

- Priority identification
- Policy options' discussion and selection
- Monitoring of progress

### 2. Stakeholders' contribution to the policy priorities selection at national level

Strengthening the policy dialogue at the regional project level relies for the PALOP-TL/EU partners on the formalization of the preparation phase by each partner country of its own priorities. The first stage, therefore, is the organization of a regular, maybe annual, meeting with local stakeholders, selected based upon identified policy areas, to present and discuss evidence-based positions that will contribute to forming a country's priorities and main points to be discussed at the ministerial meeting level. Indeed, it is important to note that discussing policy reforms with partners implies a constant attention to the **relevance** of these exchanges with the partner's own democratic space. This democratic space is defined as the national discussion happening at different levels, and in different forums.

As such, dialoguing about policies and reforms with external partners has to be linked to a national discussion to take into account the decision-making processes, issues of internal legitimacy and ownership of the orientation. When moving to the regional level, policy dialogues remain relevant when they contribute to national priorities and make sense for national institutions, constituencies and sectoral stakeholders.

*To operationalize this aspect*, tier 2 proposes to enlarge progressively the focus of the preparation phase by inviting **national stakeholders to participate in a yearly seminar**, in the capital, to discuss PALOP-TL activities and **prepare a position on the main sectoral priorities**, selected from the NIPs, to be discussed at the PALOP-TL ministerial meeting. The objective is to enable both government, stakeholders of the projects and activities, along with the local EUD to provide content and substance, going beyond the technical level, to be brought up to the attention of the Ministerial Meeting.

Such yearly meeting would rely on the implementation of the guidelines discussed and revised after the tier 1 workshop to create a collaborative environment where stakeholders can, to the best of their capacity, contribute inputs and policy options to refine the national government's policy preferences to be presented

---

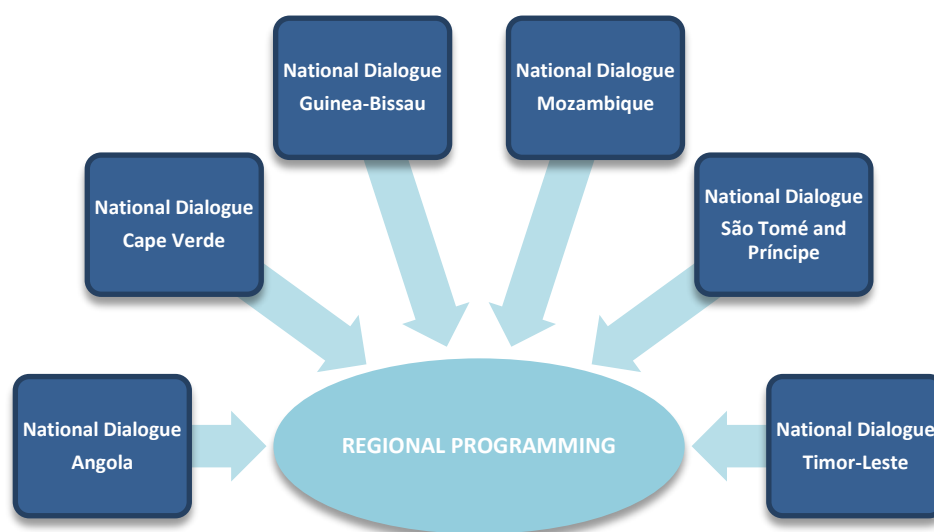
<sup>13</sup> At this stage, the common guidelines to policy dialogue resulting from the activities led in tier 1 will constitute a proper information and capacity-building toolkit for stakeholders with limited knowledge of such participatory process.



and discussed at the regional level. This preparatory seminar would address the country's activities and progress regarding the implementation of the PALOP-TL/EU partnership's projects and requires:

- the dissemination of information – which the projects already produce –,
- the procedural aspects to generate substantive participation and engagement and
- the identification of points where stakeholders could contribute.

The yearly dialogues intend to generate a continuous conversation at the national level meant to facilitate and complement the identification of priorities through the addition of expertise and the interaction between various sets of perceptions, data and evidence. As such, tier 2 insists on the necessity to rely on vibrant, local interactions between national institutions and stakeholders to strengthen the capacity of national partners to dialogue about policies at the regional level.



*Figure 3: National dialogue feeds into the regional programming*

The national and regional priorities are currently defined in the NIP and MIP through studies conducted with the help of technical assistance and consultants. The proposition of such a regional policy dialogue would be to integrate these contributions as evidence to inform a conversation with stakeholders during the priority-setting phase to determine the areas where cooperation and joint-intervention are the most efficient.

The addition of stakeholders would complement and provide a larger basis to root the priorities of the PALOP-TL partnership with each of the democratic spaces. Consulted, the beneficiaries of the partnership can become strong proponents, and constitute part of the added value of this policy dialogue mechanism.

Setting up a consultation and decision-making mechanism for a regional partnership cannot be done without taking into account the necessity to respect the members' sovereignty. It is crucial therefore that national authorities remain at the forefront of the priority-setting, at national level, to elaborate, at the regional level, an agenda for discussion as comprehensive as can be, and reflecting the inputs of the various national stakeholders (see Annex 14 for a detailed fiche).

### 3. Stakeholders' contribution to the definition and evaluation of policy options

One of the PALOP-TL core participants interviewed during the initial phase of the study told us to **"Focus more on less"** and this quote precisely applies to the necessary inclusion of stakeholders and the way their contribution can be made more impactful through the collective dialogue on narrowed down policy options.

Policy dialogue for a program involving six countries geographically separated poses a serious logistical and budgetary issue to resolve. Opening up the process of elaborating policy reforms to stakeholders is a choice



made for democratic reasons, but can be made financially efficient by a strong, documented and evidence-based process of priority selection to narrow down the policy orientation and identify relevant stakeholders contributing to the invention of policy options at the national level<sup>14</sup>.

Based on its current priority on job growth, the PALOP-TL/EU program, cannot avoid the inclusion of two main categories of stakeholders: those preoccupied by the future of the youth, but also women who makes up more than 50% of the adult populations. Through representatives, their inclusion has to be reflected upon, as well as any actor who may hold a stake in the issue of training, SME financing and more (see Annex 15 for a detailed fiche).

#### 4. Stakeholders can contribute to monitor the implementation of policy

To ensure and promote democratic values and especially accountability, stakeholders can and should be associated to the monitoring of the implementation of the policy reform they have been associated to by contributing to the definition of the evaluation criteria and progress indicators.

Through the organisation of monitoring events during which the policy implementation progress can be presented and potential issues discussed, stakeholders can observe and contribute their vision to overcome difficulties if needed be.

Including stakeholders may seem to generate more events to be organized and logistical tasks. Time-consuming activities need to organize a policy dialogue may be a concern but it represents a minor expense if travel costs are kept minimal, while the benefits in terms of inclusion and democratic support are extensive. Figure 8 shows how the 3 tiers work together.

#### Box 2. Summary of Tier 2

##### *Operationalisation efforts required:*

*Preparation of the annual ministerial meetings through the conduct of dialogue meetings with relevant national-level stakeholders to finalise a set of national priorities suggested to be discussed at the regional level.*  
*Regional ministerial meetings include a discussion of each country's identified priorities*  
*Yearly process of inclusive talks regarding the PALOP-TL activities in-country with relevant stakeholders to map out realizations and address future issues relating to the partnership-related areas of (possible) cooperation.*

##### *Further steps:*

*Organise in-country national seminars that include relevant stakeholders (government institutions, EUD, other actors involved and relevant invitees) to prepare the ministerial meetings.*  
*Enlarge the ministerial meetings' planning to allow for a discussion on the next priorities coming from the partners' proposals.*

##### *Outputs expected:*

*Relying on a common understanding of the mechanisms of policy dialogue, the partners strengthen their cooperation, at national level (with EUD and relevant stakeholders) to enrich their positions and to finalize priority-identification. National positions, discussed yearly, are the basis for strategic talks at the regional level during ministerial meetings.*

### 2.2.3 Tier 3: towards a flexible and demand-driven dialogue - capacity-building and strategic vision

More than 25 years of cooperation have contributed to build up, reinforce and strengthen the core capacities of the PALOP-TL partners. While capacity building is a process necessitating a long horizon, and should not be stopped, policy dialogue enables the partners to think of new directions with different timelines and areas

<sup>14</sup> See Annex 16 to read more about Tunisia's experience addressing health care forms through policy dialogue.

of concentration. Taking stock of the strengths of the PALOP-TL/EU partnership, a policy dialogue mechanism enables the partners to decide on joint priorities and develop country-specific reforms to fit their specificities.

We introduce here the notion of platform, or ad hoc dialogues, meant to enable each partner to make a choice regarding the policies most in-line with its own priorities, defined in tier 1 and tier 2.

We purposefully introduce tier 3 – related to content – as the last one. The reasons being the necessity to mobilise the mechanism of policy dialogue first as a trust-building instrument between national partners and stakeholders and to generate a strong democratic space for reform. The mechanism presented here balances the inherent complexity of dialogue, first, with the particularities of a regional program such as PALOP-TL/EU.

Tier 3 offers to push further this mechanism and place it at the centre of a **variable geometry cooperation** formula. By allowing partners to reflect nationally about their priorities, then discuss them collegially, and then choosing to deepen their cooperation with partners sharing similar objectives, policy dialogue would truly provide a one-of-a kind opportunity for south-south cooperation.

Following up the policy dialogue-strengthening continuum developed in the introduction, tier 3 would see the focalisation of the partners' efforts on **the content of the exchanges** at regional level. Tier 1 enabled a joint reflection on the process supporting the dialogue and addressed potential difficulties throughout; tier 2 was devoted to the participation of relevant stakeholders; and consecutively, these two tiers would lead the partners to be in a position to discuss and approach a transformation of the policy content of their cooperation.

Interviews have attested the aspiration for a more substantial dialogue between political authorities about the prospects of cooperation in the decades to come, and the type of partnership that PALOP-TL countries and the EU could want. To be clear, the interviews have also stated explicitly the necessity to pursue capacity-building projects to reinforce the governments of the PALOP-TL countries and invited a careful examination of any new projects.

Nonetheless, any plan to address issues going beyond what has already been planned for the next programming cycle will imply a reflection and decision about a dialogue architecture allowing for **broader inclusion of participants** (tier 2). These added voices would come from the civil society (SMEs, CSOs, professional organizations), the private sector (companies, investment banks, development banks) as well as various expertise fields (think tanks, university networks) to enrich the regional partners' reflection and inform the government's decision-making process.

Tier 3 takes into account the main characteristics of the PALOP-TL/EU partnership, which is their willingness to approach common issues together, based on historical ties of cooperation, similar institutional and legal forms and a strong capacity to support one another. It then proposes to address the possibility that the activities conducted in tier 1 and supported by the identification of new relevant stakeholders in tier 2 might lead countries to identify new and/or more precise priorities at the national level, leading to rich conversations at the PALOP-TL/EU ministerial meeting level.

**Tier 3** is a proposal to strengthen the policy dialogue among the partners based on the idea that partners are never as engaged as when their priorities are fulfilled and the benefit is as direct as it can be. It is meant to open up a discussion regarding the impact of priority selection on the dialogue capacity and willingness.

Variable geometry is here introduced to build on the strengths and progresses made in different sectors by individual PALOP-TL countries. **The idea is to enable countries with similar priorities, positions, to decide to address jointly issues of common concerns. Governments, with clear priorities, and documented records of progress, could either propose to lead a regional policy dialogue to share their experience in a domain with other willing participants, and/or participate in policy dialogue spearheaded by other partners to discuss their practices.** The flexibility that this proposal allows should lead to more engagement while enabling EUDs and possibly line-DGs and external partners (triangular cooperation) to contribute their know-hows upon request from the PALOP-TL countries.

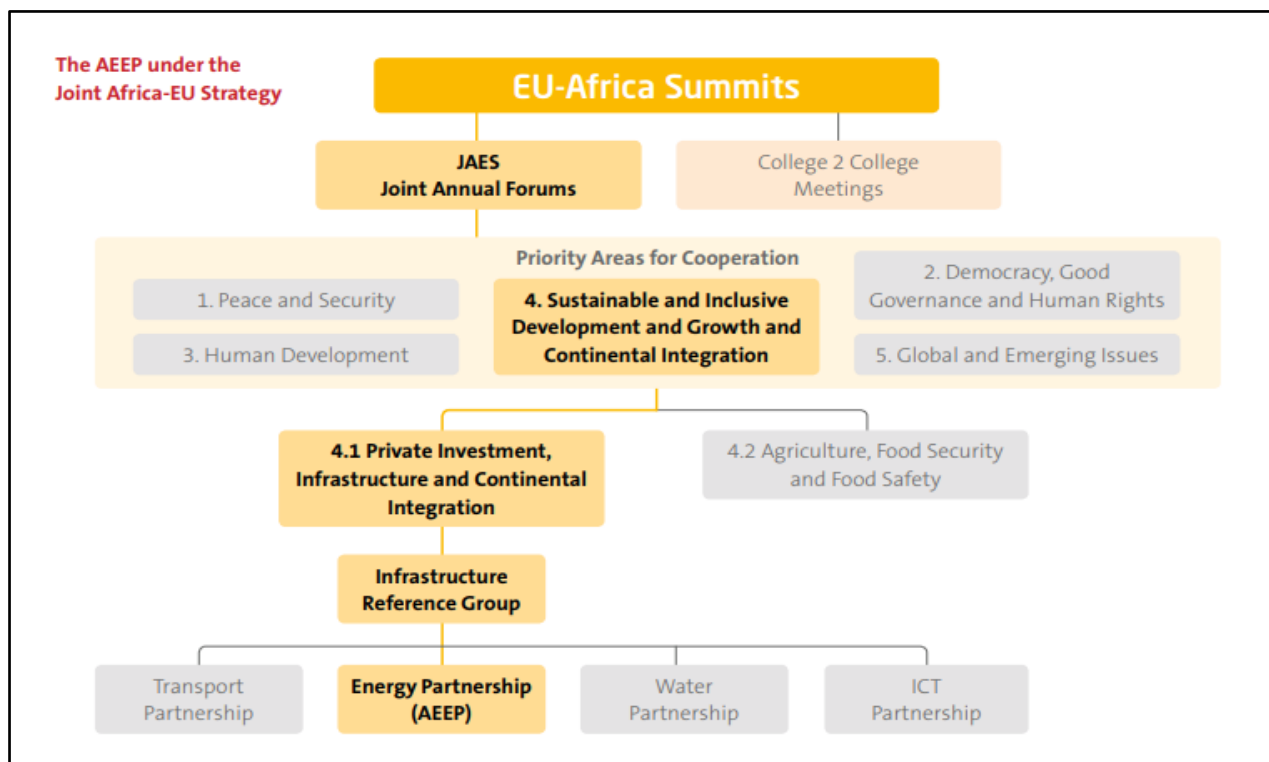
This proposal is inspired by two sets of working cooperation mechanisms:

### 1. Dialogue Platforms

The **dialogue platforms** introduced in partnerships of various formats and focus such as the Eastern Partnership (EaP), the Asia Europe Meeting (ASEM) or the Union for the Mediterranean (U4M). Each of them, based on a recognized shared willingness to further cooperation, relies on dialogue platforms to support policy discussions on issues of common interest. The notion of platform presents, for the PALOP-TL partners, the interest of being light, not requiring further administrative cost while allowing the participation of external actors and stakeholders to contribute to the policy dialogue.

Platforms have the capacity to bring together actors that are geographically distant while maintaining the capacity for each of them to pursue their policy activities. Annex 17 develops several examples regarding the merits that could serve as inspiration for PALOP-TL partners.

As in regards to policy, platforms are functioning more efficiently when they enable participants to work on policy reform within a clear institutional setting. For instance, the thematic group works produced by the Africa Energy Efficiency Partnership (AEEP) contribute to the overall agenda of the EU-Africa Summit structure (see Figure 4). Through this partnership, the EU and African partners have set up a *“long-term framework for strategic dialogue between Africa and the EU aimed at sharing knowledge, setting political priorities and developing joint programs on key energy issues”*<sup>15</sup>.



**Figure 4:** The AEEP platform is part of a larger institutional architecture (source: AEEP, “10 years of Successful Cooperation, the Africa-EU Energy Partnership”, Nov 2017)

<sup>15</sup> For more information, see the Africa-EU Energy Partnership homepage: <https://africa-eu-partnership.org/en/projects/africa-eu-energy-partnership-aEEP>

Applied to the PALOP-TL/EU partnership, a platform addressing for instance “business environment for women entrepreneurs” (to develop PALOP-TL-EU’s current priority on job growth) could lead three partner countries to address issues that currently limit the role of women in job creation and develop ways to improve and boost their role in economic governance, SME financing, labour protection and other areas.

From these experiences, the PALOP-TL/EU partners may be inspired to “*tell a story to the world*” as one of the interviewees was inviting us to consider, at the beginning of this work. Making use of inter-connectivity of priorities and inviting external partners to get an interest in the reform priorities being discussed may lead to the outcomes of such dialogues to have a larger impact and lead to additional support. Synergies may also contribute to the PALOP-TL group to find their “voice” on the international scene, as a group on its own but also within larger circles such as CPLP, the ACP as well as regional organizations if and where needed.

To make sense for the overall partnership, the results from platforms for dialogue have to produce demonstrable results as well as a methodology to support similar reform strategies among the rest of the PALOP-TL partners. This specific platform could also be supported by its inclusion in larger thematic forums to benefit from external expertise.

Each platform would structure itself in a light coordination mechanism and produce its own reporting to be discussed at the national and regional meetings to communicate results, challenges and ways forward among stakeholders and partners (including EUDs and EC).

At last, platforms are based on shared willingness to address issues of common interest and therefore benefit from a commitment made by the participants to contribute to the results. In this regard, flexibility could be found in the elected participation but also in the roles assigned to the participants:

- some could be taking a lead in order to share their methodologies with other PALOP-TL partners,
- others could choose to examine how one country’s results could be transferable to their context,
- some may choose an observer role in order to prepare their own national priorities.

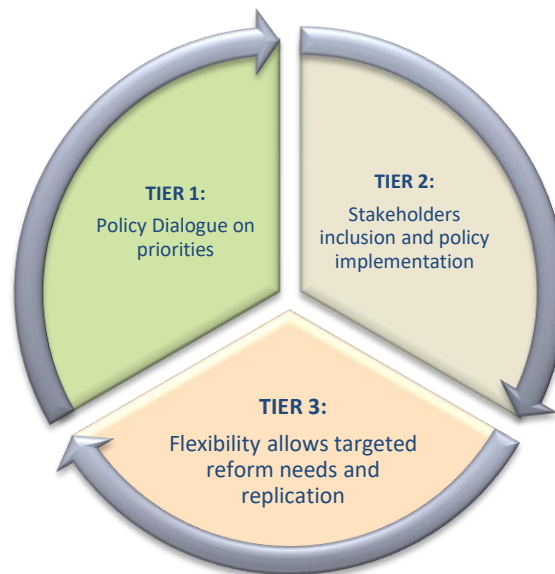
Most important is the capacity of platforms to support the inclusion of internal (those primarily affected by the policy reforms being discussed such as CSOs and business interests) as well as external stakeholders (financial institutions, international organizations, INGOs, third country, researchers) to enrich the reflection. The flexible nature of platforms can be a vector to encourage **triangular cooperation** on a targeted priority for some of PALOP-TL/EU partners, the country and the donor<sup>16</sup>. Triangular cooperation relies on the capacity of a country to identify an experience led in another that it would benefit from replicating with the support of a donor. Examples exist at various levels demonstrating the advantages of such cooperation mechanism. Donors such as the World Bank and OECD have led strong efforts to develop this concept and support various initiatives. Some of which have taken place in PALOP-TL countries mostly dealing with agriculture projects<sup>17</sup>. From the list of projects, it appears that triangular cooperation is of interest for various donors looking at supporting south-south cooperation models. Indeed, with the introduction of flexibility, the 3-tier proposal intends on creating the space where triangular cooperation with countries having a close cultural relationship with the PALOP-TL and a relevant development-related experience could be introduced.

---

<sup>16</sup> For more on triangular cooperation, see Guido Aschoff “Triangular cooperation: opportunities, risks and conditions for effectiveness”, Special Report for the World Bank Institute, October 2010.

<sup>17</sup> See for instance the list of triangular cooperation projects compiled by OECD: <http://www.oecd.org/dac/dac-global-relations/triangular-co-operation-repository.htm>

To support a strengthened policy dialogue mechanism, platforms have to remain relevant to the initial objective of the partnership and should be financially viable, not to consume too large a share of the overall budget allocated to policy dialogue within the PALOP-TL/EU partnership.



*Figure 5: Tiers function in a cycle and enable PALOP-TL partners to learn from each other while addressing their common priorities*

Dialogue platforms, for the reasons listed above, can contribute to various stages of the public policy cycle and provide regular occasions for meetings and exchanges which can, in return, feed the national reform cycle and internal dialogue with national stakeholders. Platforms have to support a structured dialogue, alternating national-level stages and regional instances of information exchange, feedback and support. Platforms, like any other project, have to be managed and planned, with the support of a coordination unit that could be set up between the lead country's NAO office with the contribution of the relevant European Delegation, in coordination with the RAO and EUD in charge of the PALOP-TL/EU program. The coordination mechanism is essential to keep the dialogues documented and enable the future dissemination of results as well as replication of methodology by other PALOP-TL partners.

To function adequately, platforms require scheduled meetings prepared by tier 1 and tier 2 dialogues on priorities and national stakeholders' inclusion to the policy priorities identification and policy options. It is through the interconnection of national and partnership levels that such dialogue will lead to results. Platforms provide additional capacity for government and national actors to address their priorities and determine their own path toward reforms.

The notion of flexibility, introduced in tier 3, is complemented by the introduction of demand-driven mechanisms.

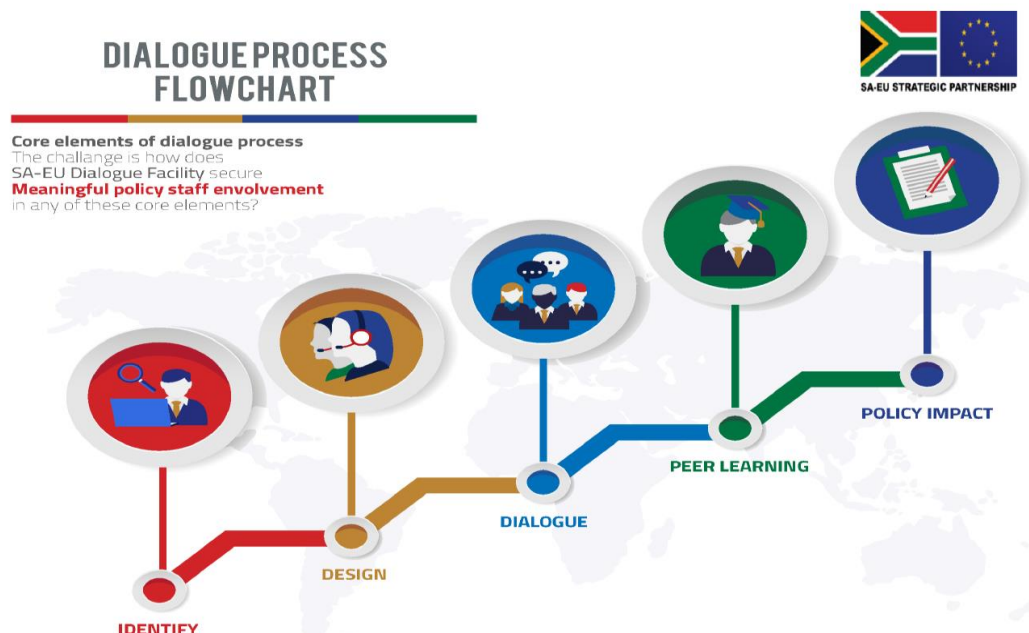
## **2. : Reflecting on demand-driven mechanisms for cooperation**

For the European Union, various ways enable to cooperate towards a partner country's priorities. Certain partnerships, as it was just examined, offer very interesting tools, such as platforms. These are worth mentioning here as part of a reflection on the possibilities to further the cooperation between the PALOP-TL countries and the EU. In this regard, demand-driven mechanisms that build on improved capacities and priority-setting processes (see tier 1 and 2), should also be considered as a direction for PALOP-TL partners.

The **strategic dialogues** that the EU set up with partners such as South Africa or Brazil which, aside from the determination of the strategic nature of their relationship, enables cooperation to rely on the **expression of**

**demands** from the partners to which the EU, its line-DGs and member-states can respond with offers of services and reinforcement target programs.

The European Union has concluded ten strategic partnerships<sup>18</sup> with countries that are “considered natural partners of the EU (Canada, USA, Japan), whereas others are considered simply too big to ignore (China, Russia, India)”<sup>19</sup>. Some of these partnerships are presented as “natural” or obvious, while others have been the object of a formalized document regarding the content of the “strategic partnership”. It is the case especially for Brazil, India, China, South African and Mexico. These new agreements follow the emergence of these new powers on the international scene, and set up a special relationship and modalities of cooperation. No longer requiring development support, the relationship with China, India, Brazil, Mexico and South Africa (which still receives development aid) graduated towards a new form of relationship. For some in particular, like Brazil and South Africa for instance, the partnership is structured around a formal agreement setting up regular summit events, high-level dialogues and joint statements<sup>20</sup>. In practice, Brazil’s “sector dialogues” and South Africa “Dialogue Facility”<sup>21</sup> support the relationship between local and European institutions through the organization of political and technical dialogues on issues of common concerns. In practices, the technical dialogues function in a rather light manner, supported by a Program Management Unit supporting the



**Figure 6: South Africa-EU dialogues flowchart** (source: SA-EU Dialogue Facility, 3<sup>rd</sup> call for proposal, capacity building workshop, November 2018)

dialogue facility and serving as a light administrative structure.

<sup>18</sup> The EU has concluded strategic partnerships with the following countries: Brazil, Canada, China, India, Japan, Mexico, Russia, South Africa, the United States and South Korea.

<sup>19</sup> See Thomas Renard, “Strategy Wanted: The European Union and Strategic Partnerships”, Security Policy Brief, Egmont Institute for International Relations, September 2010. See also, European Parliamentary Research Service, “EU Strategic Partnerships with Third Countries”, October 2, 2012.

<sup>20</sup> For a review and history of strategic partnerships, refer to Giovanni GREVI, “Why EU strategic Partnerships Matter”, ESPO, working paper 1, June 2012

<sup>21</sup> For more information, refer to the webpage [www.dialoguefacility.org](http://www.dialoguefacility.org)



For instance, in South Africa, the Dialogue Facility supports “*both existing (Bridging Phase) and emerging policy dialogues by providing technical and funding support for: Short-term expertise in the form of technical assistance or researchers to prepare papers; Meetings, workshops & conferences; Study and exchange tours; and capacity building*”<sup>22</sup>. Based on the South African government identifying its development priorities and designing its policy options, the technical facility’s aim is to support the dialogue through the provision of high-level experts to share their experience with South African government officials interested in technical solutions to create a learning experience (see Figure 6). The dialogue facility also organizes workshops for knowledge transfers for government’s departments that have expressed an interest.

In Brazil, a facility supports more than 30 different Sector Dialogues through the organization of dialogue missions and events to share expert knowledge in the fields of interest identified by Brazilian and European authorities.

These partnerships imply high-level political dialogues and the implication of the European External Actions Services, the European Commission’s line-DGs as well as interested member-states. **The purpose of tier 3 is not to address the strategic nature of partnerships, but rather to focus on the demand-driven cooperation mechanisms introduced in the dialogues.**

At this stage, it is clear that the establishment of a dialogue mechanism will need to be financed by the overall budget allocated to the PALOP-TL/EU, whereas the budget amount will result from the priorities discussed at the ministerial meeting level. As for the financing of flexible instruments made available to the PALOP-TL partners, they could either be funded through the general PALOP-TL budget or coming from EUD’s bilateral budgets for instance if the priorities selected are aligned with the country’s NIP.

The multiplication of platforms can lead to rising logistical costs (meetings, travel, and administrative support). The purpose of this Report is to propose a strengthened policy dialogue mechanism and, based on interviews, to avoid overburdening the budget of the partnership at the same time. While these two priorities may seem to be in contradiction, one may keep in mind what would be the cost of an inefficient or non-existent dialogue mechanism. The creation of a dialogue mechanism implies that a budget be allocated to its support keeping the focus on the added value the partners want to derive from the implementation of a policy dialogue mechanism.

Combined with a structured and strengthened dialogue on priorities and stakeholders’ inclusion, **flexibility enables a fuller ownership of the cooperation mechanism and most likely a faster reform process.** But it requires core capacities from the local state to identify its priorities, areas of improvements as the demand for expertise. Demand-driven cooperation concretizes the necessity of strong policy ownership to create sustainable and responsible change. The introduction of flexibility, can here contribute to such goal by creating spaces for exchanges where partners are at the helm, with the backing of their European partners, supported by platforms where technical expertise can be delivered, study visits organized and triangular cooperation conceived and implemented.

**The flexibility introduced in this tier is meant to further the engagement of all partners through the selection of common priorities and closer cooperation** complemented by targeted ad hoc expert input. The variable geometry introduced by the platform approach will lead to the creation of small working groups gathering two or more PALOP-TL partners. Following the architecture proposed in tier 1 and 2, tier 3 activities have to rely on strong national dialogues and workshops, relayed by platform meetings.

---

<sup>22</sup> *ibid*

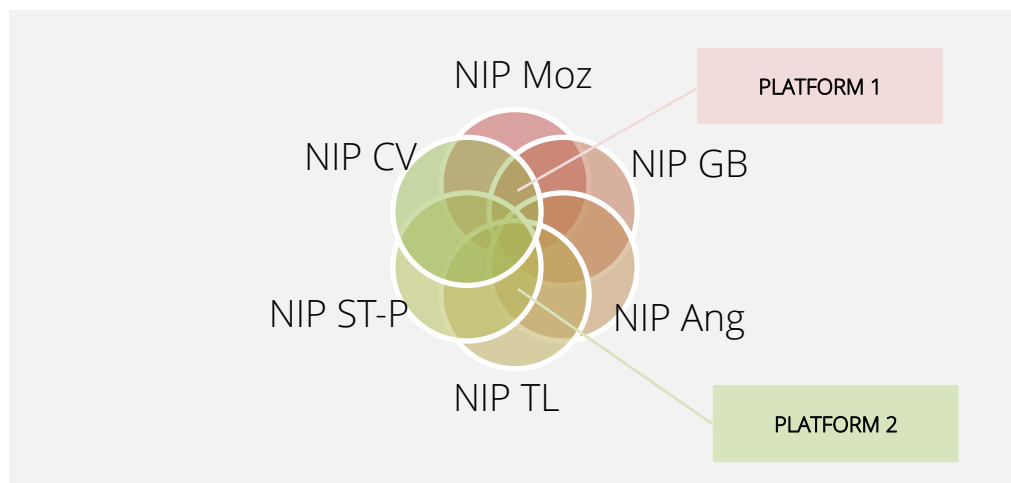
Keeping in mind the necessity to be selective in the identification of the platforms for cooperation, the partners should probably go through a test-phase during which one or two platforms could be launched, with clear documentation, objectives and indicators for monitoring.

Tier 3, thus, offers new ways to address development cooperation for the PALOP-TL partners by adapting their modalities of cooperation to their identified priorities while offering the partners a flexible approach if these priorities were not aligned at a given turn of the programming cycle.

This variable geometry approach seems especially adapted for regional projects to generate a common approach to a future issue shared by the partners that in a first stage does not imply to develop a project-oriented approach. The platform itself is a dialogue about policy orientation (political level) and policies to frame and address it, thus linking the two levels with all the PALOP-TL countries. This relatively new tool allows for a minimal administrative structure but has been able to keep a high level of political engagement from the countries participating in the process.

To be effective, the idea of variable geometry has to benefit all partners. Therefore, while some PALOP-TL countries might decide to join forces and deepen their cooperation on a selected set of priorities, others elect to concentrate on a different one, the partnership develops by the formulation of clear success stories and policy reform methodologies to be easily replicated across the PALOP-TL partners to serve as economies of scale cases for instance.

Tier 3 will thus rely on a **structured dialogue on political issues and policies** by organizing various sources of information and enable the PALOP-TL countries along with their European partners to derive the best input out of them.



*Figure 7: VEN DIAGRAM on PALOP-TL priorities based on their NIPs. In line with the concurring priorities, different platforms can be formed, with a variable number of countries leading the dialogue, to address common concerns, in the benefit of the 6 partners. E.g. Platform 1 led by CV, Moz, GB; Platform 2 led by Ang, TL and STP*

Furthermore, on the operationalisation side, the EU has developed new cooperation instruments designed to facilitate investments in the private sector with the focus to generate new job growth opportunities along with key economic opportunities (SMEs, energy and connectivity, agriculture, internet and digital services, sustainable cities). The adoption of a platform-based cooperation would notably enable the participation of key stakeholders such as representatives of financial institutions (local and development banks) along with relevant companies with an interest in participating in the structuration of new value chains (from production to local markets and more).

In a sense, such future prospects – some of which are already occurring – will require the mobilization of new instruments of cooperation, requiring reinforced mechanisms of policy dialogue involving new actors such as foreign companies, development and local banking institutions, strengthened civil society participation,



SMEs and economic actors' representation groups, to be included in forward-looking policy dialogue mechanisms. Figure 8 shows how the 3 tiers work together.

### Box 3. Summary of Tier 3

#### **Operationalisation efforts required:**

*Following tier 2, at the ministerial meeting-level, positions from each country can be discussed and priorities decided based on commonalities and mutual willingness to work more closely on selected issues of common interest.*

*Ministerial meetings, prepared in advance by collecting each partner's positions, can devote a half-day session on the identification of future areas of cooperation in a variable-geometry fashion. Specific platforms for policy discussions are set between participating countries.*

*Development of the partners' capacities and projection towards new areas of cooperation*

*Include national and regional levels spaces for country-driven exchanges with financial institutions to support a government-led, but discussed and conceived within the instances of the PALOP-TL partnership, effort to promote private investments to create massive job markets;*

*Envision several such forums for policy discussion with enlarged participation to enrich governmental policy-making processes.*

#### **Further steps:**

*Platforms for variable geometry cooperation are set up with a light structure*

*Cooperation subjects are identified and validated by the ministerial meeting*

*Regular thematic workshops are organised by cooperating partners that can include financial institutions (development banks and national ones) along with potential companies interested in investment opportunities,*

*Governance capacities developed through the PALOP-TL/EU partnership are assessed to evaluate the needs for capacity-building efforts necessary in the next cycle of programming in light with relevant development priorities.*

#### **Outputs expected:**

*Variable geometry enables countries to reinforce their capacities at their own pace, with the cooperation of others, and to focus on their shared priorities through platforms designed with the purpose of maintaining high political engagement to support the necessary policy reforms.*

*At this stage, the partnership develops, through the consultation process and the mobilisation of discussion platform, a very strong partners-driven cooperation mechanism that reinforces the south-south cooperation sustaining the added-value of the partnership with the EU.*

*Difficulties and necessary steps to be taken are discussed.*

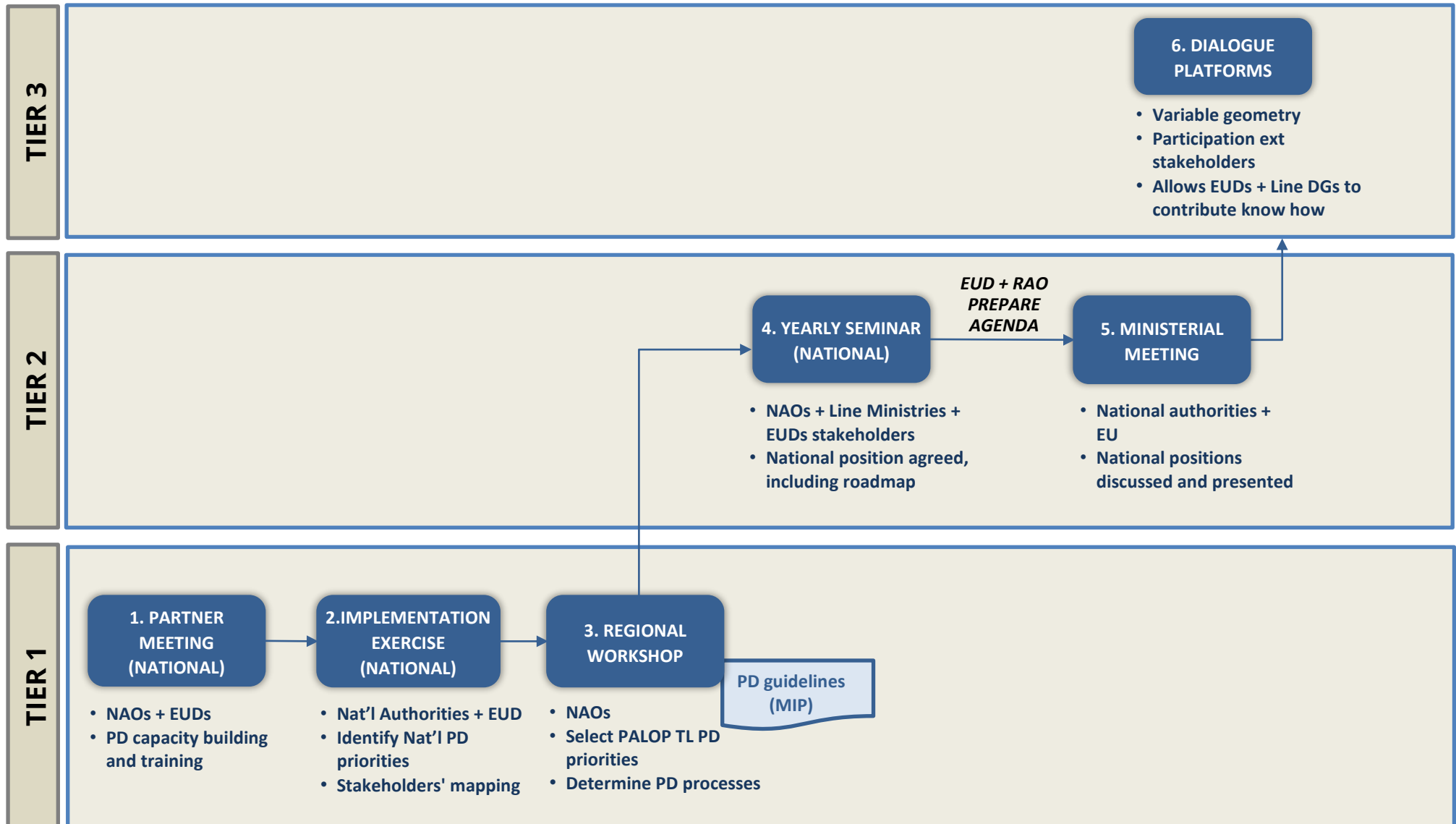
*Priorities, already present in tier 2, are enriched with new inputs from various sectors of society. Efforts at the regional level translate into new policy dialogues to create richer, more evidence-based policies to support capacity-building, improved governance and development through job creation.*

Overall, this three-tiered proposal is designed to enable a comprehensive shift in the way cooperation is thought but also carried out to provide results for the benefits of the partner governments, their populations, their civil societies but also their economic actors.

Tier 1 activities provide partners, at the national level, to enrich their understanding of policy dialogue, as a cooperation process to design policy reforms. These activities are followed by an implementation exercise consisting on planning the launch of a new policy dialogue, based on the identification of national priorities and involving new stakeholders to feed the conversation with new points of views, interests and data.

Tier 2 focuses precisely on the participation of relevant stakeholders to finalise national priorities and generate new regional discussion on issues of common concerns.

Tier 3 then proposes that depending on their interests and national priorities, the PALOP-TL partners could determine to adopt a variable geometry approach to cooperation. Each dialogue, under the platform model, would include two or more countries and produce results for the benefits of all partners. In this light, countries with more experience, or more advanced state, could elect to be team leader to share and discuss their good practices in a given area.



# ANNEXES

## ANNEX 1: List of Interviewees

N	Name	Work Place	Local	Observations	Type
1	Alessandro Villa	DEVCO	Brussels	Political dialogue, multilateral level	direct
2	Ana Rita Ferreira	Camões, PT	Lisbon	Project manager PASP	direct
3	António Pombal	MFA, Angola	Luanda	Director of service NO	direct
4	António S. Benedito	EUD, Moz.	Maputo	EUD Ambassador in Maputo	remote
5	Apolinário Costa	GB Embassy	Brussels	Ambassador	direct
6	Belpaire Rigo	DEVCO 03	Brussels	Post-Cotonou negotiations	direct
7	Berta Cossa	Moz. Embassy	Brussels	Ambassador	direct
8	Boaventura Silva	NAO, GB	Bissau	Programme manager	remote
9	Carla Folgoa	EUD, CV	Praia	Project manager PALOP-TL	remote
10	Carolina Estróia	Camões	Lisbon	Head of Division of Strategic Partnerships	direct
11	Catherine Audouze	DEVCO	Brussels	Com. Junker Plan/ Africa, pillar on bus. & env.	direct
12	Céline Maertens	DEVCO	Brussels	Chief of Sector	direct
13	Cesal Guidetti	EUD, GB	Bissau	PALOP-TL manager	remote
14	Cesaltina Bastos	EUD, STP	Libreville	Chief of Section in Sao Tome and Prince	remote
15	Cristina Bandeira	Camões, PT	Lisbon	PACED team	direct
16	Christina Gosparini	DEVCO	Brasilia	Brazil desk	remote
17	Earnan O'Cleirigh	DEVCO	Brussels	Triangular cooperation	direct
18	Fábio Sousa	Camões, PT	Lisbon	Cultural Project team	direct
19	Fanny Marchal	Twinning & Taix	Brussels	New partnership instruments	direct
20	Fernando da Costa	NAO, TL	Dili	TA	remote

N	Name	Work Place	Local	Observations	Type
21	Filipa Corte Real	EUD, Moz.	Maputo	manager PALOP-TL programme	direct
22	Francesca Aquarro	TAIEX unit	Brussels	Official	direct
23	Francisco Cepeda	TL Embassy	Brussels	Ambassador	direct
24	F. Correia Júnior	NAO, GB	Bissao	Cabinet Coordinator	remote
25	Francisco Mendonça	NAO, TL	Dili	Programme Manager	remote
26	Geert Anckaert	EUD, Moz.	Maputo	Chief of Section	remote
27	Geert Laporte	ECDPM	Brussels	Institutional Relations Director	direct
28	Genevieve-Dehoux	DEVCO	Brussels	GEOCO-SA	direct
29	Georgeo Chikoti	Ang. Embassy	Brussels	Ambassador	direct
30	Gonçalo Marques	Port. REPER	Brussels	Chief of the Portuguese Cooperation	direct
31	G. Ferreira da Silva	NAO, TL	Dili	Programme Manager	remote
32	Hélder Vaz	GB Embassy	Lisbon	Ambassador, follows post-Cotonou dossiers	direct
33	Henrique Banze	ACP Secretariat	Brussels	ACP Deputy-SG – leads negotiations with EU	direct
34	Isaura Lopez-Ramos	DEVCO	Brussels	Mozambique Desk	direct
35	Joana Fisher	EUD, Angola	Luanda	Head of Political Section	remote
36	Joaquim Salgueiro	EEAS, Moz.	Brussels	Political & cooperation framework with Moz.	direct
37	José F. Monteiro	CV Embassy	Brussels	Ambassador, follows PALOP-TL programme	remote
38	Jose Roman	EUD CV	Praia	Chief of Cooperation	remote
39	Luís Silva	NAO, CV	Praia	NAO coordinator	remote
40	Manuel Lapão	CPLP	Lisbon	Head CPLP cooperation	direct
41	Manuel Lubisse	NAO, RON, Moz.	Maputo	Ambassador and Director NAO	direct
42	Maria Amaral Aguiar	EUD, STP	Brussels	Ambassador	direct
43	Mariana Arias	TAIEX	Brussels	TAIEX program, cooperation partnerships	direct

N	Name	Work Place	Local	Observations	Type
44	Nicolas Gonçalves	DEVCO	Brussels	Desk Palop-TL programme	direct
45	Paula Lopes	Camões, PT	Brussels	Post-Cotonou, Palop-TL dossiers	direct
46	Paula Reis	EUD, TL	Díli	Project Manager PALOP-TL	remote
47	Paulo Leitão	EUD Ang.	Luanda	Project Manager PALOP-TL	remote
48	Paulo Lima	CPLP	Lisbon	Political and Diplomatic Advisor	direct
49	Pedro Oliveira	Camões, PT	Lisbon	Head of Section Multilateral Relations	direct
50	Pierre Nadji	DEVCO	Brussels	European External Investment Plan	direct
51	Ricardo G. Gomes	UN, CV	Praia	Project manager UNDP – PACE, PRISC	remote
52	Sofia M. de Sousa	EUD, CV	Praia	Ambassador	remote
53	Stefan Simosas	EUD, Moz.	Maputo	Head of FPI	remote
54	Stephanie Horel	DEVCO 04	Brussels	PD mechanism, reform of prog. management	direct
55	Sylvain Tarreau	DEVCO 01	Brussels	Coord. unit (steer. Commit., EU Invest. Prog.)	direct
56	Simon le Grand	EUD, TL	Díli	Head of Section	remote
57	Sylvie Estrega	EEAS	Brussels	Uganda-EU Joint Way Forward partnership	remote
58	Vasco Bonfim	NAO, STP	São Tomé	PALOP-TL Programme coordinator	remote
59	Vicky Chang	MFA, TL	Dili	Ambassador, DG Multilateral, Regional Affairs	remote

## ANNEX 2: Questionnaire

### BASIC QUESTIONNAIRE

#### I. Issues to be explored on the experience of past and current programmes

1. What major strengths of past and current programmes should be stressed? What priorities and programmes should continue to the next phase?
2. What major weaknesses of past and current programmes should be avoided? Do (some of) them persist in the current one? What priorities or programmes should be discontinued?

#### II. Issues to be explored on the set-up of a new Programme

1. What priorities of past and current programmes should be maintained? Should other priorities be added to the future programme? Should policy dialogue inform the major priorities of the next PALOP-TL/EU programme or should it be treated as a parallel issue?
2. What is the current importance of policy dialogue between the parties? Where and how do the partners discuss issues of common concern? What issues are being discussed and how should the quality of these exchanges be considered? How is this dialogue structured and set within the institutions linking the PALOP-TL and EU members?
3. Should policy dialogue be kept strictly on policy-making? If not, how could the dialogue on global issues be made even more relevant for the partners?
4. How would the policy-making process between the PALOP-TL members and their local EU counterparts, when setting up new policies should be qualified? What are the strengths of these exchanges? What could be improved? What are the internal and external factors that could contribute to make these exchanges on public policies better?
5. Setting up a consultation about public policies requires the mobilization of resources (time, human resources...); how should the next PALOP-TL/EU partnership allow for these dialogues (specific share of the budget or ad-hoc practice)?
6. What threats concerning the approval of a new programme within the post-Cotonou framework may be foreseen? If there are any, what threats should be stressed? Can they be avoided? How?

### COMPLEMENTARY QUESTIONNAIRE

1. What major priorities of current and past programmes should be kept to the next phase?
2. What should a policy dialogue at the PALOP-TL/EU level bring to the partnership?
3. Should policy dialogue occur at central level or should it also proceed at sectoral level?
4. Can you give examples of next subjects for discussion at a PALOP-TL/EU policy dialogue?
5. Should the dialogue include a broad participation of non-state actors? How?
6. Would you suggest any new priority to the 2021-2027 Programme? In what field(s)?

## ANNEX 3: List of Programmes

### REGIONAL PROGRAMME I – 1990-1995 - 7<sup>th</sup> EDF

**Budget:** 25M

**Specific objectives:** (1) Improvement of education systems; (2) Training for the health sector; (3) Institutional development (through the training of public officials, business managers, public and private external trade operators and statisticians); (4) Cultural cooperation.

**Sectoral projects:** (1) Consolidation of Educational Systems; (2) Statistical Training for Middle Managers; (3) Regional Centre for Training of Public Health Professionals; (4) Regional Centre for Training Nurses; (5) Regional Centre for Training in Public Administration and Business Management; (6) Promotion of Foreign Trade and Investment; (7) Bibliographical Fund of Portuguese Language

### REGIONAL PROGRAMME II – 1995-2000 - 8<sup>th</sup> EDF

**Budget:** €30 M

**Focus areas:** (1) institutions, central, local public administration; (2) employment, training; (3) culture

**Non-focus areas:** (1) statistics; (2) the educational system; (3) tourism and environment.

**General objective:** to reduce the development deficit of the 5 countries, specifically attributable to common characteristics, by encouraging integration into contiguous geographical regions.

**Priorities:** human resource development and strengthening of institutional support to contribute to the necessary reforms, covering areas of complementarity with the NIP and the other RIP.

**Projects:** (1) Support for the Development of Statistical Systems I; (2) Support for the Development of Judicial Systems I; (3) Consolidation of Public Administration Capacities

### TRANSFER OF REGIONAL PROGRAMME II -2000-2007 - 9<sup>th</sup> EDF

**Budget:** € 28,7 M

**Focus areas:** economic and social development.

**Projects** (each one led by one country representing the countries in the group): (1) Support for the Development of Judicial Systems II; (2) Support for the Development of Statistical Systems II; (3) Support for Human Resources Development in the Health Sector of PALOP-TL; (4) Support for PALOP-TL Cultural Initiatives; (5) Support to the Vocational Training Sector in the PALOP-TL

### GOVERNANCE INITIATIVE- 2008-2013 - 10<sup>th</sup> EDF

**Budget:** € 30 M

**General objective:** improve good governance.

**Focus areas:** Political governance: democracy, human rights and the rule of law;

**Specific Objectives:** (1) Government effectiveness; (2) Economic governance.

### MULTIANNUAL INDICATIVE PROGRAMME 2014-2020 - 11<sup>th</sup> EDF

**Budget:** 30 million euros

**General objective:** to continue previous efforts for good governance.

**Focus areas:** (1) development of governance capabilities; (2) generation of employment in the area of culture.

**Specific objectives:** (1) Increasing employment through inclusion and mobility; (2) Promoting employment through wealth-generating activities in the cultural sector; (3) Strengthening institutional capacity for governance.

**Coordination:** Regional Authorising Officer (NAO of the EDF of Mozambique).



## ANNEX 4: List of Projects

### PORTUGUESE LANGUAGE BIBLIOGRAPHY FUND

Programme   EDF	7 <sup>th</sup> EDF
Sector	Culture
Funding Source	EU: ECU 2.500.000,00 (100%)
Amount	ECU 2.500.000,00
Start Date	09/1997
End Date	09/2000

### TRAINING OF MID-LEVEL STAFF IN STATISTICS

Programme   EDF	7 <sup>th</sup> EDF
Sector	Statistics
Funding Source	EU: ECU 3.500.000,00 (100%)
Amount	ECU 3.500.000,00
Start Date	08/1994
End Date	2000

### REGIONAL TRAINING CENTRE IN PUBLIC ADMINISTRATION AND ENTERPRISE MANAGEMENT

Programme   EDF	7 <sup>th</sup> EDF
Sector	Governance and Public Administration
Funding Source	EU: EUR 4.300.000,00 (100%)
Amount	EUR 4.300.000,00
Start Date	08/1996
End Date	12/2000

### PROMOTION OF EXTERNAL TRADE AND INVESTMENT

Programme   EDF	7 <sup>th</sup> EDF
-----------------	---------------------

Sector	Public Finances
Funding Source	EU: EUR 2.600.000,00 (100%)
Amount	EUR 2.600.000,00
Start Date	06/1997
End Date	12/2001

#### CONSOLIDATION OF EDUCATION SYSTEMS

Programme   EDF	7 <sup>th</sup> EDF
Sector	Education
Funding Source	EU: 2.225.000 (75%) Calouste Gulbenkian Foundation: 1.122.500 (25%)
Amount	EUR 4.450.000,00
Start Date	04/1995
End Date	12/2002

#### REGIONAL CENTRE FOR TRAINING OF LEADING NURSING

Programme   EDF	7 <sup>th</sup> EDF
Sector	Health
Funding Source	EU: EUR 2.600.000,00 (100%)
Amount	EUR 2.600.000,00
Start Date	03/1996
End Date	06/2003

#### SUPPORT FOR THE DEVELOPMENT OF JUDICIAL SYSTEMS I | PIR-PALOP JUSTICE

Programme   EDF	8 <sup>th</sup> EDF
Sector	Justice
Funding Source	EU: EUR 5.000.000,00 (82%) Portuguese Cooperation: EUR 1.100.000,00 (18%)

Amount	EUR 6.100.000,00
Start Date	17/02/2003
End Date	30/09/2006

#### CONSOLIDATION OF PUBLIC ADMINISTRATION SKILLS IN THE PALOP COUNTRIES | CCAP

Programme   EDF	8 <sup>th</sup> EDF
Sector	Governance and Public Administration
Funding Source	EU: EUR 4.800.000,00 (76%) Portuguese Cooperation: EUR 1.200.000,00 (19%) Cape Verde Government: EUR 300.000,00 (5%)
Amount	EUR 6.300.000,00
Start Date	04/2003
End Date	09/2008

#### SUPPORT TO THE DEVELOPMENT OF THE PALOP STATISTICS SYSTEMS | PADSE

Programme   EDF	8 <sup>th</sup> EDF
Sector	Statistics
Funding Source	EU: EUR 2.300.000,00 (82%) Portuguese Cooperation: EUR 500.000,00 (18%)
Amount	EUR 2.800.000,00
Start Date	09/05/2002
End Date	31/12/2007

#### SUPPORT FOR THE DEVELOPMENT OF JUDICIAL SYSTEMS II

Programme   EDF	9 <sup>th</sup> EDF
Sector	Justice
Funding Source	EU: EUR 3.000.000,00 (100%)
Amount	EUR 3.000.000,00

Start Date	07/2007
End Date	07/2009

#### SUPPORT CULTURAL INITIATIVES IN THE PALOP-TL COUNTRIES | PAIC

Programme   EDF	9 <sup>th</sup> EDF
Sector	Culture
Funding Source	EU: EUR 3.000.000,00 (100%)
Amount	EUR 3.000.000,00
Start Date	31/08/2009
End Date	30/06/2012

#### SUPPORT FOR THE DEVELOPMENT OF HUMAN RESOURCES IN THE HEALTH SECTOR IN THE PALOP-TL COUNTRIES | PADRHS

Programme   EDF	9 <sup>th</sup> EDF
Sector	Health
Funding Source	EU: EUR 10.000.000,00 (100%)
Amount	EUR 10.000.000,00
Start Date	15/12/2009
End Date	30/09/2012

#### SUPPORT FOR THE TECHNICAL AND VOCATIONAL TRAINING SECTOR OF THE PALOP-TL COUNTRIES | PASFP

Programme   EDF	9 <sup>th</sup> EDF
Sector	Education and Professional Training
Funding Source	EU: EUR 4.700.000,00 (100%)
Amount	EUR 4.700.000,00
Start Date	31/05/2010
End Date	30/06/2013

# STRENGTHENING THE TECHNICAL AND FUNCTIONAL SKILLS OF SENIOR AUDIT INSTITUTIONS (SAIS), NATIONAL PARLIAMENTS AND CIVIL SOCIETY TO CONTROL THE PUBLIC FINANCES IN THE PALOP-TL COUNTRIES | PRISC

Programme   EDF	10 <sup>th</sup> EDF
Sector	Governance and Public Administration
Funding Source	EU: EUR 6.400.000,00 (100%)
Amount	EUR 6.400.000,00
Start Date	02/2014
End Date	02/2018

# SUPPORT FOR CONSOLIDATION OF RULE OF LAW IN THE PALOP-TL COUNTRIES | PACED

Programme   EDF	10 <sup>th</sup> EDF
Sector	Justice
Funding Source	EU: EUR 7 M (83,3%); Portuguese Cooperation: EUR 1,4 M (16,7%)
Amount	EUR 8.400.000,00
Start Date	01/10/2014
End Date	12/2019

# SUPPORT FOR THE IMPROVEMENT IN THE QUALITY AND PROXIMITY OF PUBLIC SERVICES IN THE PALOP-TL COUNTRIES | PASP

Programme   EDF	10 <sup>th</sup> EDF
Sector	Governance and Public Administration
Funding Source	EU: EUR 5.000.000,00 (80%) Portuguese Cooperation: EUR 1.000.000,00 (20%)
Amount	EUR 6.000.000,00
Start Date	01/05/2014
End Date	30/04/2017

# SUPPORT FOR THE ESTABLISHMENT OF AN ECONOMIC AND FINANCIAL MANAGEMENT TRAINING INSTITUTE OF THE PALOP COUNTRIES | PAIGEF

Programme   EDF	10 <sup>th</sup> EDF
Sector	Public Finances
Funding Source	EU: EUR 3.000.000,00 ACBF: EUR 1.500.000,00 PALOP-TL: EUR 900.000,00
Amount	EUR 5.400.000,00
Start Date	03/04/2017
End Date	02/10/2025

# SUPPORT FOR THE 2010-2012 ELECTION CYCLES IN THE PALOP-TL COUNTRIES | PACE

Programme   EDF	10 <sup>th</sup> EDF
Sector	Governance and Public Administration
Funding Source	EU: EUR 6.100.000,00 (100%)
Amount	EUR 6.100.000,00
Start Date	03/2010
End Date	02/2013

## ANNEX 5: List of References

Title	Author	Year
ACP Negotiating Mandate for a Post-Cotonou Partnership Agreement with the European Union	ACP Council of Ministers	2018
Action document - Consolidating Economic Governance and Public Finance Management Systems in PALOPTL - 11th EDF	EC, RON	
Action Document - Employment promotion in income generating activities in the cultural sector - 11th EDF	EC, RON	
Action Document - technical cooperation for the coordination of the PALOPTLEU cooperation	EC, RON	
Action document: Platforms for Dialogue - Project: strengthening inclusion and the participation in decision-making and accountability in Bangladesh	EUD Bangladesh	2015
Addis Ababa Action Agenda of the Third International Conference on Financing for Development	UN	2015
Angola - EU Country Strategy Paper and national indicative program for the period 2008-2013		
Annexe XXV, avenant n°1 au Programme Indicatif National 2014-2020 entre l'Union Européenne et le gouvernement de la république démocratique de Sao Tome et Principe	EU - São Tomé e Príncipe	
A Política de Desenvolvimento da União Europeia e o seu contributo às políticas de emprego e proteção social nos PALOP-TL	De Melo	2015
Avaliação da Cooperação regional entre os PALOP e a Comunidade Europeia - Relatório de Síntese	EC	2001
Avaliação Intercalar ao Pro PALOP-TL ISC		2017
Avaliação final do projecto "Apoio aos Ciclos Eleitorais nos PALOP e Timor-Leste"		2016
Avaliação final PALOP STAT II	ADE	2012
Avenant n°4 à la convention de financement n°CV/FED/038-219 Cabo Verde) Contrat de bonne gouvernance et développement - modification du montant de l'appui budgétaire suite aux accords de la revue de mi-parcours signés le 19/07/2018	DEVCO	2018
Brainstorming meeting on Triangular Cooperation - Lisbon 13-14 September 2012	OECD	2012
BRICS and agriculture: how the new hubs of capital are changing development	White	2015
Commission Implementing Decision - on the annual action programme 2017 for the Pan-African Programme to be finance from the general budget of the European Union	EC	2005
Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Region "Agenda for Change"	EC	2005
Décision du le sommet des chefs d'etat et de gouvernement ACP sur le rapport du groupe d'éminentes personnalités ACP	ACP	2016



DEVCO - Budget Support Guidelines 2012	EC	2012
DEVCO - Budget Support Guidelines 2017 (with Annex 13 on Policy Dialogue)	EC	2017
DEVCO Companion - chapter 6 revised - Policy Dialogue	EC	
DEVCO companion to financial and contractual procedures - 2014	EC	2014
Diálogos Sectoriais - Apoio aos diálogos sectoriais União Europeia - Brasil 2008-2016	EC	2016
Documento orientador da cooperação PALOP-TL/EU - 10º FED	EC	2008
Draft issues paper: EU-PALOP-TL Cooperation	EC	2013
Estudo de Avaliação-Cooperação UE/PALOP-TL	IBF - Lucena	2012
EU Annual Report on Human Rights and democracy in the world 2017	EU	2005
EU-Angola Joint Way Forward Agreement	EC-ANG	2012
EU-Angola - 3rd Angola-EU ministerial meeting - brussels	EC-ANG	2017
EU-AU Summit 2017 – Declaration	EU-AU Summit 2017 - Declaration	2017
European Union - The PALOP-TL Multi-annual Indicative Program for the period 2014-2020	EC	2015
External evaluation of 11th EDF 2014-2017	IDC	2017
Freedom House Index – Angola	Freedom House	2018
Freedom House Index – Cabo Verde	Freedom House	2018
Freedom House Index – Guiné-Bissau	Freedom House	2018
Freedom House Index – Moçambique	Freedom House	2018
Freedom House Index – São Tomé e Príncipe	Freedom House	2018
Freedom House Index – Timor-Leste	Freedom House	2018
Financing agreement between the EC and the Five Portuguese speaking countries of Africa and Timor-Leste: Employment promotion in income generating activities in the cultural sector	EC-PALOP	2018
Findings from Analytical Work on Triangular Cooperation	Karen Jorgensen	2012
Full Financial agreement between the EC and the Five Portuguese speaking countries of Africa and Timor-Leste - PRO PALOP-TL SAI Phase II	EC, RON	2018
Guinea Bissau - EU Country Strategy Paper and national indicative program for the period 2001-2007		
Guinea Bissau - EU Country Strategy Paper and national indicative program for the period 2008-2013		
Good Practices in South-South and Triangular Cooperation for sustainable development <a href="https://agora-parl.org">https://agora-parl.org</a>	UN Office for South-South Cooperation	
IGEF Action Document	EC	

Inspiring Democracy, A Model for Inclusive and Participatory Policy Dialogue	INSPIRED	2014
Intervention of Mozambique on Triangular Cooperation	Christina Matusse	2012
Is Aid an Effective Foreign Policy Instrument for the European Union		2005
Joint Communication to the European Parliament and the Council - A renewed partnership with the countries of Africa, the Caribbean and the Pacific	High Representative of the EU	2016
Joint Staff Working Document - Evaluation of the Cotonou Partnership Agreement	High Representative of the EU	2016
Joint Statements - 17th EU-Brazil Joint Committee	EEAS	2017
Le groupe ACP en quête d'un nouveau rôle sur la scène internationale	ACP	2016
Lomé IV Convention	EC, ACP	1989
Memorandum of Understanding between the European Commission on the one part and the Lusophone African Countries (PALOP) and Timor-Leste on the other part	EC-PALOP	2007
Mozambique - EU Country Strategy Paper and national indicative program for the period 2001-2017		
Mozambique - EU Country Strategy Paper and national indicative program for the period 2008-2013		
Mozambique's Agriculture and Brazil's Cerrado Model: miracle or mirage?	Cabral, Shankland, Locke and Duran	2012
Negotiating Directives for a Partnership Agreement Between the European Union and its Member States of the one Part, and with Countries of the African Caribbean and Pacific Group of States, of the other Part	EC	2018
European Union - Democratic Republic of Timor-Leste National Indicative Program for the period 2006-2007		
European Union - Democratic Republic of Timor-Leste National Indicative Program for the period 2014-2020		
European Union - Republic of Cape Verde National Indicative Program 2008-2013		
European Union - Republic of Cape Verde National Indicative Program 2014-2020		
PADRHS – Relatório provisório de Avaliação		2012
PALOP / EU - Programa Indicativo Regional II	EC	1997
PALOP /EU Programa Indicativo Regional	EC	1992
Post-Cotonou, vers une modernisation du partenariat ACP	Fondation Schuman Robert	2017
Programa Indicativo Nacional de Cabo Verde 2002-2007		
Programme Indicatif de la Guinée-Bissau 11e FED 2014-2020		
Premières discussion conjointes sur l'héritage et les perspectives des relations ACP-EU	ACP	

Reflexão sobre o Programa de Cooperação PALOP-TL/EU e a sua Sustentabilidade, na Perspetiva de uma Nova Parceria entre a União Europeia e os Países ACP, após 2020	Fernando Cardoso	Jorge	2016
Republic of Angola - EC Country Strategy paper and national indicative programme for the period 2002-2007			
République démocratique de São Tomé e Príncipe - document de stratégie pays et programme indicatif national pour la période 2008-2013			
Reunião extraordinária de ordenadores nacionais dos PALOP-TL com a União Europeia - conclusões conjuntas			2018
Reunião extraordinária de ordenadores nacionais dos PALOP-TL com a União Europeia - conclusões e deliberações			2018
Revised Lomé IV Convention	EC, ACP		1995
Roadmap for EU-Brazil S&T cooperation	EC		2017
ROM Report - Support to the Improvement of the Quality and Proximity of Public Services of the PALOP and Timor-Leste	EC		2015
ROM Report – Projet de Consolidation de l'Etat de Droit			2018
SA-EU Strategic Partnership	www.dialogue facility.org		
São Tomé e Príncipe - Union Européenne Programme Indicatif National pour la période 2002-2007			
São Tomé e Príncipe - Union Européenne Programme Indicatif National pour la période 2014-2020			
Shared Vision, Common Action: a Stronger Europe	EU		2005
State of the Union 2018: towards a new "Africa-Europe Alliance" to deepen economic relations and boost investment and jobs"	Juncker		2018
Strengthening the EU's Partnership with Africa	EC		2018
Study of identification of areas of governance for multicountry PALOP cooperation - 10th EDF	Berenhot		2007
TALEX and TWINNING 2016	DG NEAR		2016
The Cotonou Agreement	EU-ACP		2000
The Cotonou Agreement and multiannual financial framework 2014-2020	EU-ACP		2010
The EU Approach to development effectiveness	EC		2016
The EU External Investment Plan: summaries of the first 12 guarantee tools proposed under European Fund for Sustainable Development Guarantee	EU		2005
The EU's Contribution to the Millennium Development Goals - key results from European Commission programmes	EC		2015
The future of foreign aid	Nicolettra Merlo		2015
The Role of Political Dialogue in Peacebuilding and Statebuilding: an interpretation of current experience			

Timor-Leste Country Strategy Paper and National Indicative Program  
2008-2013

Toward the ACP we want ACP 2017

Towards a renewed partnership with African? Caribbean and Pacific  
Countries after 2020 EC 2016

Triangular Cooperation - timeline OECD 2012

Triangular cooperation: opportunities, risks and conditions for  
effectiveness Ashoff (World Bank Institute) 2010

União Europeia - República de Angola Programa Indicativo Nacional  
2014-2020

União Europeia - República de Moçambique Programa Indicativo  
Nacional 2014-2020

Update on Progress on actions agreed at the Policy on Triangular  
Cooperation OECD 2012

[www.paced-paloptl.com/index.asp](http://www.paced-paloptl.com/index.asp)

Website PACED

[www.paloptl.eu](http://www.paloptl.eu)

Website PALOP-TL UE

[www.instituto-camoes.pt/activity/o-que-fazemos/cooperacao/parceiros/uniao-europeia/cooperacao-palop-tl-eu](http://www.instituto-camoes.pt/activity/o-que-fazemos/cooperacao/parceiros/uniao-europeia/cooperacao-palop-tl-eu)

Website Camões -  
Cooperação PALOP-TL

[www.legis-palop.org/](http://www.legis-palop.org/)

Website Legis PALOP

## ANNEX 6: Implementation Exercise for Policy Dialogue Planification

During the national workshop, participants along with the moderation team will reflect on current priorities addressed by those of the PALOP-TL/EU partnership and discuss a set of policy issues selected as topic(s) of the dialogue with a number of stakeholders in the following months.

The implementation exercise would then build on the following structuration to imagine, approve and implement a national dialogue on the selected policy. The exercise is meant to create joint ownership of the policy dialogue process between the national institutions taking part in the partnership's activities and the EUD. Therefore, a joint Policy Dialogue planning covering all questions and steps makes sure that all procedures and aspects related to this collaboration mechanism are covered.

For the purpose of this implementation exercise, the steps are presented as a series of questions for the participants to answer:

### Step 0: policy identification

- Based on a common understanding of the current focus of the PALOP-TL/EU partnership, and given the collective expertise gathered among the participants, what policy issue could be a next priority?
- What can be expected from a dialogue on this particular issue? What are the main arguments in favour of such issue (impact, SDGs, national priorities)?
- How likely is this issue to be relatable to the experience of other PALOP-TL partners?

### Step 1: data collection, joint-analysis and sector-wide approach

Considering that for the purpose of this implementation exercise, the issue selected has to be set within established priorities for the national government, and close to the focus of the regional partnership to facilitate joint discussions, the questions are the following:

- What joint political economy analysis of the issue can the group participants carry out and share with their partners?
- In how far can the participants share the data available to them, generate links, identify gaps and cooperate to create a comprehensive photography of the policy issue identified?
- What area of the policy issue is not covered by the data available by the participants? Who may hold relevant and useful information to complete the analysis? Based on a stakeholders' mapping, which groups and representatives could contribute relevant information and inputs?
- **Word of caution:** this phase is key and should benefit from strong engagement from all partners. Once the policy issue has been selected, based on a dialogue and clear participation and decision-making rules, the analysis of the issue, as it is, can begin. It is a phase where difficulties may come about. The creation of the proper atmosphere where trust is established is a key responsibility for the meeting's chair(s). During this phase, external expertise may be brought in to complement the participants' while not substituting them. On the basis of this analysis, participants can move to step 2.

### Step 2: clear objective definition

When the data collection is completed, step 2 begins to approve a common set of dialogue objectives and procedural principles and specific actions. A summary of the proposed project should be prepared, following

the main points of the established document. This will enable a formal discussion on the intended impact and help clarify the policy aspects, risks and political analysis to be paid attention to.

The methodological questions are:

- What is the intended purpose and objective of this proposed policy?
- What is known about this policy issue? How does it fit within the country's NIP? Is there any risk of policy overlap? Which information is available? What is missing and should be collected?
- What are the contributors to this policy dialogue hoping to achieve?
- How do we plan to proceed with the issue?

While step 1 aims at mapping out a sector (capacity, actors involved, commitment capacity, coordination structures...), Step 2 aims at setting up the dialogue's objectives and procedural aspects.

In the PALOP-TL/EU partnership, documents demonstrate that this phase is usually externalized, as it is time-consuming and requires extensive knowledge of the methodology and tools to be mobilised. Nonetheless, this step identifies the conditions that need to be met to begin with the programming, through exchanges of information and positions, the expected results, the implementation phases and the criteria for later evaluation.

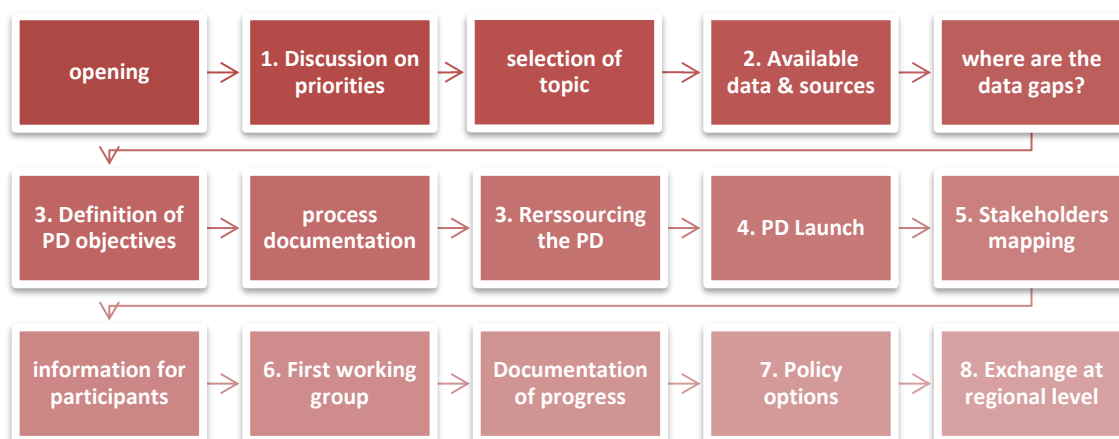
Crucial in itself, this step relies on flowing communication, a clear framework and timeframe for structured and prepared exchanges as well as trust and engagement from all sides.)

### Step 3: procedural aspects and resources to be mobilized for project implementation

Like any cooperation interaction, a clear process, mutually agreed upon by the partners involved (local government, EUD, civil society participants, private sectors etc) is imperative. The process through which policy reforms will be conducted has to be seen as fair, allowing for every side to express its opinions, positions, remarks and eventually criticisms as openly as possible to generate the best outcome for the interests of the stakeholders and the populations. Dialogues can be substantiated by the addition, within the group, of external expertise, technical assistance experts, or external partners, for the benefit of informing the conversation and enriching the reflection of the country.

### Step 4: documentation and reporting

As in any administrative procedure, accounting for and monitoring and evaluation of the policy dialogue conducted requires the creation of a trace and elements of reporting to enable the partners to eventually adapt the process in case of need or keep track of good practices to be replicated later on.



## ANNEX 7: Steps Toward the Organisation of the Implementation Exercise

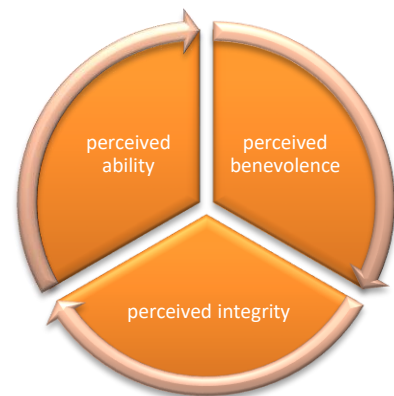
Preparatory exchanges	Workshop guiding principles and program
<p><b>To prepare the workshop:</b> Assemble a team composed of representatives from the NAO team, local EUD and a core PD trainer.</p> <p>Determine the workshop' target audience: NAO, Line-ministries, government stakeholders, local EUD agents.</p> <p><b>Together, they clarify:</b> The purpose of the workshop Its methodology The rules of participation The guidelines for inclusion and consultation How to best bring about trust to encourage critical discussions The profile of the participants based on current and future involvement in the partnership's activities Logistical requirements</p>	<p><b>Discussions should be led by a two-person team (local + trainer) to:</b> Facilitate mutual understanding, Create and develop trust (see Annex 9), Ensure active participation and progressive engagement, Identify points of contention and lead solution-oriented conversations, Capitalize the inputs from participants and trainers</p> <p>Core guidelines are capitalized and shared with future participants during the training. They serve as future reference document.</p> <p>A program, adapted to local participants, is developed and sent to participants in advance to allow for feedbacks if needed.</p>
Inclusive exchanges	Follow up exercises
<p><b>During the workshop, the following questions should be answered collectively while taking into account the starting points of view:</b> What does it mean to work on a country's policy reform? How do I feel about the future cooperation on the subject? What do I expect from this process? What does policy dialogue mean for me? For my institutions? How do I feel about discussing positive outcomes? In how far will I eventually bring up potential difficulties or obstacles? How should the group address disagreements? What should the participants and moderators do to encourage the expression of divergent voices? How can we take into account for dissenting opinions? What should the group do to ensure the most constructive participation possible? If the purpose of the partnership, and therefore this workshop is to strengthen our policy dialogue, what can we suggest? What can we commit to do?</p>	<p><b>During the workshop, exercises will be proposed to target:</b> Stakeholders analysis and mapping Sectoral reform input points Overcoming difficulties at the table Cross-cultural interactions Reform support Policy dialogue planification</p> <p><b>Following the 5-day workshop, the following implementation task will begin:</b> Identification of a set of policy priorities to be addressed at the partnership level Needs assessment Identification of decision-making architecture regarding priorities selected Identification of necessary resource (budget, external TA, good practice representative) National stakeholders' mapping exercise Reflection on inclusive reform processes and rules of enlargement to external stakeholders Policy dialogue comprehensive proposal (identification, budgeting, M&amp;E framework, identified output) National policy priorities to be presented at the partnership's ministerial meeting level.</p>



## ANNEX 8: The Importance of Trust for Policy Dialogue

**TRUST:** Trust is a core component for a fruitful policy dialogue as it relates directly to the capacity of participants to take risks together. Trust describes an evolutive quality of the relationship between two or more actors that enable each one to accept a certain degree of dependency in exchange for the prospect of satisfying some needs. Trust allows one individual to evaluate another's level of predictability. It is evolutive, subjective and based on repeated behaviours and actions as well as tests allowing<sup>23</sup> interlocutors to evaluate trust's three pillars. Through the first one – perceived ability –, a person will assess if the interlocutor has the skills and competencies to have an influence over a specific domain. The second one – perceived benevolence –, evaluates the degree to which the interlocutor's intention are good, and not self-centred. And the last one – perceived integrity – is used by one actor to test the adequation of an interlocutor to a set of acceptable values.

The notion is crucial for policy dialogue partners. First because trust is based on subjectivity (the relationship is inter-personal) and culture (trust is not processed identically from one cultural group to the next). Second, a higher degree of trust, translated into a qualitative relationship between partners, allows for a more fluid exchange of information. Partners who trust one another will more easily share difficulties and be capable to adopt creative solutions should an obstacle appear. Without properly understanding how the exchanges will be conducted, it is very likely that a certain number of participants will have reservation about the weight granted to their testimonies.



<sup>23</sup> On the notion of trust, look at Lewicki and Bunker, "Trust in relationships: a model of development and decline", in Bunker, Rubin (et al.), *Conflict, Cooperation and Justice*, 1995. See also, Lewicki and Polin, "Trust and Negotiations", in Olekalns, *Handbook of Research on Negotiation*, pp.161-190.

## ANNEX 9: Participants' Engagement in Policy Dialogue<sup>24</sup>

The objective of this 5-day seminar is for the partners to address jointly the pillars of policy dialogue that necessitate some explanations and to address, together, the competencies that each participant need to focus on to strengthen the impact of their participation in such joint efforts.

Talking and discussing are actually skills that necessitate a bit more attention than most think, especially when dialogue addresses national policies with external partners.

It is rather frequent that participants may start from opposite point of views on a given policy, set in habits, customs and different objectives and policy background. Discussing national policy with external contributors may not be easy to accept. A well-planned process of policy dialogue should therefore pay attention to facilitate adhesion to the process through the adoption of steps meant to create trust among the partners and build their capacity to engage actively. Capacity for dialogue, as mentioned in a USAID publication, has three components:

1. Capacity to listen to others
2. Capacity to voice one's own perceptions, needs and interests and
3. Capacity to interpret issues.

These three core competencies develop as participants grow accustomed to such practices. Remains the question of their engagement in the process. More than participation, the notion of engagement refers to the quality of the participation, their proactivity to lead and support the process and their interest for the result.

Managing to reach a high level of engagement requires a combination of the following elements:

1. **Clear procedural aspects** of the policy dialogue meeting (role of the chair, attention being paid to all actors, respectful rules of participation, sufficient time to contribute)
2. **Capacity for active contribution** (capacity to voice, control over the issue, degree of authority to decide)
3. **Trust level among the participants** (perceived legitimacy, perceived benevolence and perceived ability),
4. **Level of interest for the policy outcome** (saliency of the issue, interest for the result, timeline...)

One way to keep engagement as a key priority is to empower the participants with information, with a set of conditions that promote trust and careful attention to all opinions.

Fisher and Shapiro insist on five factors that contribute to participants being engaged and constructive in settings that closely resemble the parameters of a policy dialogue interaction (capacity to trust, to exchange information, to listen to the others' argument, to construct a common vision while respecting all opinion). Their model revolves around the understanding of five concerns that affect every human being:

- **Appreciation:** reflects the desire to feel understood and valued. Feeling appreciated, any participant will be more likely to contribute constructively. To promote a sense of appreciation, a chair may ask questions to better understand and find merit in what the participants think and to communicate an enriched understanding.
- **Affiliation:** evaluates the degree of alignment of interest and values felt with a group. To develop the feeling of affiliation, the chairperson may work to find common interests at the personal level among

---

<sup>24</sup> Source: R. Fischer and D. Shapiro, *Beyond Reason*, 2005

the group members and establish each participant as being in a position to contribute to problem-solving for the whole group (ex: *we are facing some tough challenges. How do you recommend we proceed?*)

- **Autonomy:** describes the capacity of one individual to make its own choice without constraint from another. This feeling can be addressed through a mutually understanding on the procedural rules of decision-making and careful respect of equal representation and expression at the table. (ex: *What process can you suggest to structure the negotiation? What habits of yours might impinge upon the other's autonomy?*)
- **Status:** creates a positive emotion when a person's position or expertise is recognized and values for the group's reflection. The chairperson should make sure status and positions do not hamper the free expression of all participants.
- **Role:** when participants are given the possibility to choose the role they want to play in a group setting, it tends to increase their engagement and promote cooperation. Roles are not permanent and can be re-affected if and when necessary.

## ANNEX 10: Addressing Decision-Making and Consensus in a Policy Dialogue - the Input from the SURE Project of Health Policy Reform<sup>25</sup>

The concept of policy dialogue means a deliberative exchange of views between experts, stakeholders and institutions about the state of a given issue. The purpose of a policy dialogue is to produce the information needed for sovereign actors to make a decision with their partners. Depending on the objectives of each policy dialogues, whether it is organized by the European Union with its local partners or by an NGO or any other grouping, a decision has to be made by the organizers regarding who can and will participate in the dialogue, but also how should decisions be made.

For some, like the partners of the SURE projects, dialogues about health policy are design to produce a policy brief reflecting the diversity of opinions, knowledge and points of view to inform the policy cycle. The diversity of scientific and specialist opinions then enables the decision makers, at governmental level to craft policies based on diverse sources of information and opinions.

In the case of the PALOP-TL/EU partnership, the dialogues conducted at regional level about policy issues selected by the ministers are meant to craft new legislation to address the core element of development, capacity building and other issues relevant to the partners.

There has to be an agreement, from the first moment, on the necessity to come to the fullest picture possible of the issue identified. The goal of PD is actually to share and acknowledge how the diversity of points of view gathered around the table enable participants to grasp the complexity of the sector to be reformed. This diversity has to be expressed, as freely as possible, in a process that allows anyone to contribute his or her vision.

But, the decision-making process is to be clarified and rules established. One such point has to be made, from the beginning regarding how the final decision is to be adopted: by consensus or not? The search for consensus, while customary in some cultures may lead to concessions that could void the core aspect of a PD which is to take into account different voices and opinions to craft evidence-based policies. On the other end, freeing the participants from the necessity of deciding by consensus allows opinions to be voiced, arguments to be taken into account and decisions to be made while keeping in mind the necessity to prevent policies from creating new oppositions to their implementation.

Policy dialogue trainers and experts address the notion of decision-making with different points of view. Some argue that decision by consensus tend to impact negatively the merit of a dialogue bringing together a diversity of opinions, viewpoints and evidence. How can the outcome of a policy dialogue reflect the voices of those with minority opinions? Others, like John Lavis (McMaster University Canada) insist that decision by consensus might not be possible for the simple reason that participants to a policy dialogue may not be in a position to commit their institution or organization without first having an internal discussion on the options available. Others point out that removing, as soon as possible, the weight of decision by consensus allows all participants to realize that their opinions will have weight and that concessions are not demanded, but rather a constructive and, if needed, controversial one. The procedural nature of a policy dialogue, even as time remains a scarce resource, allows the participants to hear and be heard while building a shared understanding of a given policy's bases and future implications.

---

<sup>25</sup> **Source:** "Consensus in policy dialogue", Supporting the Use of Research Evidence to Support African Health System (SURE Project, World Health Organization)

## ANNEX 11: Policy Dialogue Depends on Choosing the “Good” Chairperson<sup>26</sup>

*“What makes a policy dialogue is the facilitator. The facilitator either kills or makes the policy dialogue”* says one of the key stakeholders of the dialogues organized by the SURE project coordination team.

Indeed, participants to a dialogue bring about their visions, experiences and feelings about what should be done about an issue they can be passionate about, or on which their livelihoods depend. Supporting their capacity to speak not only “to”, but mainly “with” the other participants is a responsibility that eschews to a chair person, also called a dialogue facilitator. This is a key function to ensure that a policy dialogue does not turn into a debate.

A dialogue builds up to a more comprehensive understanding from the participants through the exchange of opinions supported by evidence. Evidence put together come to constitute a complete, 3D picture of the issue, described and defined from all angles to enable the design of policy options to address its necessary reform.

In this context, the role of the chairperson is first to create a process that reassures the participants and builds trust among each other, and with the chair. The facilitator's main mission is to conduct the exchange, to foster exchanges and to set and enforce the rules commonly agreed upon by the participants. To do so, facilitators need to be reminded that the participants assess the legitimacy of the chair, its expertise on the issue and its capacity to support their participation. Chairs need to display 3 essential qualities:

- **Impartiality:** the chair does not support one party's option,
- **Neutrality:** the chair maintains a balanced environment, and offers the same level of attention to each participant's opinion,
- **Fairness:** the chair pays attention to offering the same access to information and capacity to speak up to all participants.

The chairperson sets the rules, makes sure that everyone participates actively by creating a space for respectful exchanges, while paying attention to the expression of all participants' point of view. The rules are set to let every participant feel that their voices will be paid attention to, that their participation is necessary and useful for the subject at hand, in order to create affiliation and ownership of the process.

During the exchanges, and once the procedural aspects have been agreed upon by the participants, the role of the facilitator is to highlight points of convergence and to address, in a constructive and respectful manner, the points of disagreement.

The choice of facilitator is one of the keys for the success of a dialogue: at national level, that person has to be independent, capable of remaining neutral and impartial, to generate a proper exchange. At regional level, the participants will have to recognize the authority and expertise, as well as facilitation capacities of the chairperson.

Any element allowing the participants to doubt the chairperson would have serious repercussions for the efficiency of the process as well as the capacity to reach the desired policy outcomes.

---

<sup>26</sup> **Sources:** University of Victoria, “Facilitating Effective Meetings”, 2010. See also Franck R. Pfetsch, “Chairing Negotiations in the World Trade Organization”, *Négociations*, N°11, 2009, pp.121-141.

## ANNEX 12: Stakeholders' Participation in Policy Making<sup>27</sup>

### 1. The positive contributions of stakeholders' contribution to policy-making

- Stakeholders represent a pooled expertise on a given policy priority
- Inclusion of stakeholders lead to taking into account how the related budget will be made efficient
- Cooperation with various actors holding different opinion tends to create more solid, viable and sustainable orientations than when adopted unilaterally
- Inclusive forms of debate often lead to decisions being more easily seen as fair and therefore less likely to be opposed
- Diversity in stakeholders' selection is likely to increase the capacity to respond to complex situations by adding complementary competencies and varied viewpoints
- Policy-making process that open up to new participants increase the common willingness to commit to the outcome (ownership of the process and ownership of the outcome)
- Dialogues differ from debate as they promote mutual understanding upon divergent opinion and joint imagination of solutions.

For further reference, see CLI and GIZ, "Stakeholder Dialogue", November 2011.

See also, European Commission, "Mappings Civil Society and Assessments", September 2012.

### 2. Democratic space and CSO participation in policy-making

The notion of democratic space refers to the arenas that exist where the individuals are able to interact and voice their positions, hold the state accountable, participate in debates, in politics and express themselves. The notion presupposes the existence and guarantees of fundamental rights and values supporting freedom of opinion, association, expression, and representation. It thus complements the understanding of "civil society" which stands in contrast with the State and its institutions, to designate the arena of "uncoerced collective action around shared interests, purposes and values".

Within this space, evolve non-state actors composed of civil society organizations as well as various stakeholders (donor, foreign partners, international organisations...) whose interests and positions intersect with government policies and make them both subjects and actors of policies. The interest of development partners for civic participation and the support to active civil societies is the object of continuous attention and improvement. Participation, combined with an inclusionary logic, is expected to add to policy-making at the priority identification level, the policy design as well as the M&E stages.

Emphasis has been put on the promotion of democratic spaces while funds and grants are used to support civil society organizations. Capacity-building among CSOs, as such, also deals with improving the capacity of these organizations to weigh in on policy discussions through reporting, campaigning and participation. While their existence and diversity are indicators of the liveliness of a democracy, their contribution to the formulation of policies, to be efficient, has to seek to add to the conversation by bringing up information yet unknown or not taken into account by the decision-makers. This capacity to collect, produce and campaign

---

<sup>27</sup> Sources: W. Benedek (et al.), "Improving EU engagement with Non-State Actors", FP7 collaborative project, march 2015  
See also European Commission, "Concept paper n°3: Mappings and civil society assessment: a study of the past, present and future trends", 2012 p.60; J. Court (et al.), "Policy Engagement: how civil society can be more effective", Overseas Development Institute, 2006.

new information is key in the process of identifying the relevant stakeholders and to increase the possibility for the CSO representatives to contribute to the discussion.

**Definition:** “Civil society organizations” is a generic term that comprises NGOs, popular or membership-based organizations, trade and labour unions, community-based organizations, faith-based groups, traditional organizations, professional groupings (Comment: Does this relate to private business?? If yes, then page 37 should not refer to CSOs and business interests!!), foundations but also the media, research institutions and think tanks



## ANNEX 13: Land Reform in Mozambique and Civic Engagement (ODI)<sup>28</sup>

Cruzeiro de Sul's case study illustrated how advocacy by civil society led to equitable land distribution in Mozambique. Motivated by the proposal that no rural dweller should be without land, 200 NGOs, churches and academics got together and launched a Mozambican civil society campaign – the Land Campaign.

The Land Campaign proclaimed that in all villages in Mozambique all male and female rural dwellers have rights to land through occupation. The Land Campaign also maintained that in order to avoid conflicts over land, partnerships should be established between rural dwellers and businesses. In 1997 the new Land Law was approved after a big struggle between civil society and the private sector which, to the delight of the civil society, did not call for privatisation of land.

At the same time, the following suggestions were integrated into the Law: acknowledgement of the rights of poor people even in the absence of any title in their name; acceptance of land as security for investment; and a single system for land owned by families or private sector, putting an end to dualism.

The impact of this relatively more equitable distribution of land has been evident, with the most notable changes in agricultural productivity – which has risen nine per cent per year, an increase of domestic and international investment, and a dramatic decrease in the number of landless people in Mozambique.

It is easy to realise that the new land law is a mix of modern and customary (traditional) law which has helped to minimise the incidence of conflicts over land.

Not surprisingly, the study has also unearthed some interesting findings: access to credible information is still a challenge for civil society, with the majority of public sector employees not willing to share it with the public; there is a communication gap between different levels of government and, more importantly, between government and civil society; and the little information that is available often does not get to the population outside Maputo City due to the lack of means of communication. Finally, communities need to be proactive so that they do not become dependent on the policymakers for change. The study showed that proactive policy engagement helps to institutionalise a culture of collaboration with the government that is dynamic, equitable and participative.

---

<sup>28</sup> **Source:** Chowdhury (et al.), "CSO Capacity for Policy Engagement: Lessons Learned from the CSPP Consultations in Africa, Asia and Latin America", Overseas Development Institute, Working Paper Series, August 2006, Case study 2, p.7

## ANNEX 14: Priority Selection and Stakeholders' Inclusion

Identification	Stakeholders participation	Information	Coordination	Nat. dialogue w/ stakeholders on priorities	National position
Based on political economy analysis, and an initial decision on the government's priorities, beneficiaries and stakeholders are identified	Stakeholders are invited to CSO consultations to generate voices and share data about priorities. Consultations can highlight policy gaps and shortcomings to be addressed. Participation guidelines are shared (tier 1) to stimulate stakeholders' position and data collection to support inputs on priorities and options favoured.	Information is collected by the government, and by stakeholders. It is shared whenever possible. Trust develops as exchanges grow. A comprehensive policy picture emerges with various points of views and additional information.	CSO can be convened to form a platform for future policy consultations and dialogues. Advocacy methodologies can support the inclusion of new voices along the process.	Government presents priorities, provides relevant data to frame the issues. CSOs are informed of the process, given time to prepare arguments, consult beneficiaries, data, briefs. Potential issues are listed, points of possible contention prepared. Process is recorded and documented.	At national level, dialogue(s) with stakeholders informs the government's position in a clear manner. Government retains full authority regarding the use of the inputs received from stakeholders. Position is presented to the regional level for collective discussion on priority identification.

## ANNEX 15: Stakeholders' Contribution to Policy Formulation and Option Selection

Priorities	Stakeholders contribution	Information exchange, dialogue	Selection of options
<p>Priorities have been commonly agreed upon at PALOP-TL regional level.</p> <p>National dialogues can now select policy options to best fit the policy reform to the priorities expressed</p>	<p>Provided a clear policy priority, the government and national stakeholders proceed with policy formulation: expert consultations are conducted, inputs from stakeholders are examined. Stakeholders evaluate the merits and impact of the policy options presented.</p>	<p>Stakeholders contribute their points of view to formulate and evaluate policy options.</p> <p>Rules of decision-making are clarified and arguments contribute to enrich the policy option discussion based on the evidence they rely on.</p>	<p>The government, having consulted its stakeholders, and with the contributions of its partners, select a policy option to be implemented.</p>

## ANNEX 16: Good Practices - National Stakeholders' Contribute to Tunisia's health Policy Reforms<sup>29</sup>

In Tunisia, policy dialogue activities were characterized by its high degree of participation and inclusion and by its comprehensive approach to health system reforms. The chosen term for this process in Tunisia, 'dialogue sociétal', highlights the value put forward by the current post-revolution government to have all actors of society involved in reform development and implementation in order to ensure its feasibility and acceptability in the current political and social context in Tunisia.

The 'dialogue sociétal' programme began in 2012 and saw the active participation of health professionals, vulnerable population groups, and other ordinary citizens. Focus group discussions were set up to get a true sense of how the Tunisian people perceive and experience their health care. A Health Sector Situation Analysis Report in early 2014 was based on not only a thorough analysis of available literature but also the input from the focus groups and other citizen events such as a series called the 'Citizens' Meetings on Health'. These 'Citizens' Meetings' were organized in each governorate where input was gathered on the key challenges in the health sector but also on values and attitudes of the population for sector reforms. On this occasion, citizens also shared their views on how health services could be improved.

A Citizens' Jury then synthesized and finalized the recommendations. An interactive website was set up to collect opinions through polls. The first-ever National Health Conference in September 2014 took in all the recommendations coming from these events and officially adopted them.

The path to this spectacular success was not always easy given the politically sensitive climate. Deliberations highlighted a lack of trust in the health system and deep-rooted misunderstandings between professionals, ordinary citizens and the government administration. Over a year was necessary at the beginning to build faith between different stakeholders and between the dialogue sociétal programme and government. Changes of Ministers and electoral cycles often stalled the process for months on end. However, the dialogue sociétal contributed to a sort of 'reconciliation' and has provided the foundation for developing a common vision of health system development which was agreed upon in the National Health Conference.

---

<sup>29</sup> **Source:** Deepa Rajan (et al.), "Briefing note. Policy dialogue: what it is and how it can contribute to evidence-informed decision-making", World Health Organization, SURE Project, February 2015

## ANNEX 17: How Platforms Can Inspire the Next Stage of PALOP-TL Cooperation

For instance, the **Eastern Partnership (EaP)**, created in 2009 to support the political association and economic integration of the EU's eastern neighbourhood countries, has seen the creation of various spaces where different stakeholders can regroup and take on an active role for the benefit of the overall initiative. As such, while EaP functions in a bilateral way (EU-partner country), it also relies on multilateral efforts by sector (institutions and good governance, economic development and market opportunities, connectivity and energy efficiency, mobility and people-to-people contacts). At last, EaP also rests on multilateral platforms: Parliamentary Assembly and the Conference of the Regional and Local Authorities. The EaP is also supported by a platform regrouping Civil Society Organizations<sup>30</sup> which takes on a very strong role with the organisation of internal dialogues, working groups and the production of policy notes and briefs.

The **Asia Europe Meeting (ASEM)** provides another example where variable geometry dialogue come into play. Created in 1996 to promote intergovernmental cooperation and dialogue, ASEM regroups now more than 53 partners among which the European Union and its member states, as well as ASEAN secretariat. Over the past 20 years, ASEM has grown into a multilateral space for dialogue enabling its participants to exchange on various subjects of mutual and critical interest. While ASEM remains focused on providing political authorities with opportunities for political dialogue, both formal and informal where issues of interest as well as possible disagreements can be addressed. ASEM is also the place where thematic meetings regrouping specific stakeholders can take place to discuss specific policy areas (youth, labour issues, business...) <sup>31</sup>. The purpose of such meetings is to include specific stakeholders in the general dialogue, to collect various viewpoints and to get deeper in the understanding of the relationship between the EU and Asian partners. Their inclusion leads to new data being collected that, in turn, can support policy reforms (through either dialogue or the internal way). In the context of this specific partnership, variable geometry is defined as *"the idea that different interests and priorities should allow for the shaping of informal functional groups of states that drive forward tangible cooperation through coalitions"* <sup>32</sup>. This mode of cooperation is supported by leadership whereby certain countries with a specific priority take the lead to generate a dialogue on specific issues of interest.

Platforms design to create spaces for increased interaction often include in their mission statement their capacity to build bridges between partners and institutions. Such synergies infuse the mission of the Union for the Mediterranean. Created in 2008, the **Union for the Mediterranean (U4M)** is an inter-governmental platform bringing together the European Member States and 15 countries from the shores of the Mediterranean Sea. The organization was set up as the continuation of the Barcelona Process that began in 1995 to strengthen the euro-Mediterranean relationship. The partners address 6 subjects of mutual interest, aided by a light secretariat, which cover business and employment, higher education and research, social and civil affairs, water, environment and blue economy, transport and urban development as well as energy and climate action. From the U4M experience, the PALOP-TL/EU partners may take away the capacity of the organisation to build bridges with other international institutions. Similarities found in mission statements

---

<sup>30</sup> The Eastern Partnership Civil Society Forum intends on regrouping civil society organizations to bring their expertise on the Eastern Partnership's proceedings. It takes on an active role through the structuration of a dialogue on policies among national and thematic groupings during yearly meetings and the conduct of flagship projects.

<sup>31</sup> ASEM has hosted in 2018 the 16<sup>th</sup> Asia-Europe Business Forum, the 15<sup>th</sup> Asia-Europe Economic Forum, the 11<sup>th</sup> Asia-Europe Labour Forum, the 3<sup>rd</sup> Young Leaders Summit. Each of them grew out of the realization that a structured process of exchanges was necessary and addresses various policy issues of mutual interests based on continuous priority setting and mutually agreed upon cooperation tools. For further information, <https://www.aseminfoboard.org/events/12th-asem-summit-asem12>.

<sup>32</sup> Bart Gaens (ed.), *The Future of the Asia-Europe Meeting*, Finnish Institute of International Affairs, 2015, p.77.

but mostly on given priorities have led for instance the United Nations Industrial Development Organization (UNIDO) to contribute to the U4M activities through the sponsoring of meetings and dialogues<sup>33</sup>. The capacity of U4M to link its agenda and activities with such an organization as UNIDO both demonstrates the relevance of the priorities selected but also the value of the dialogues in a larger forum and agenda context.

---

<sup>33</sup> UNIDO for instance sponsored the organization of a regional conference of interest to the U4M partners on “Creativity, Jobs and Local Economic Development in the Southern Mediterranean” held in Algiers in 2017.

#### Disclaimer

This publication was produced with the financial support of the European Union. Its contents are the sole responsibility of the authors and do not necessarily reflect the views of the European Union.

